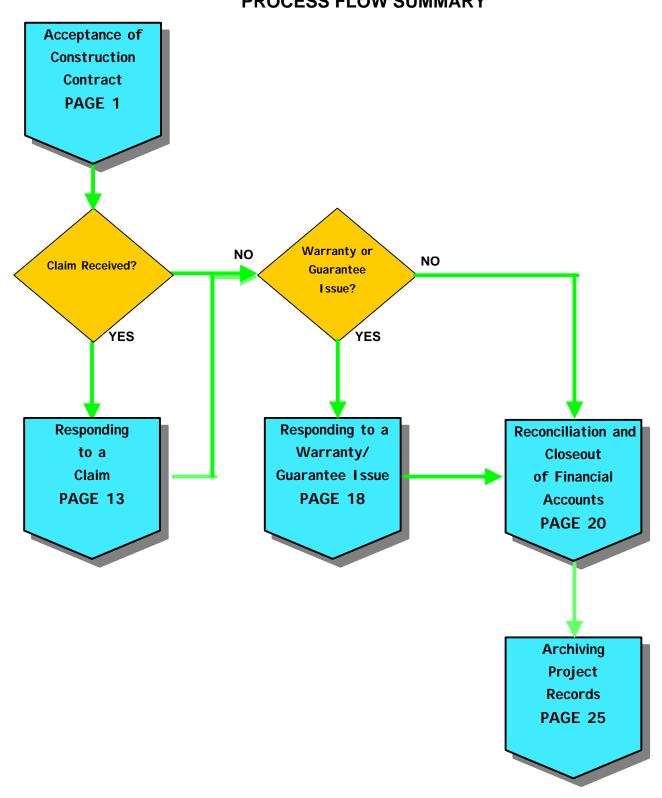
# REAL ESTATE SERVICES DIVISION PROJECT MANAGEMENT BRANCH PROFESSIONAL SERVICES BRANCH

# PROJECT CLOSEOUT PROCEDURE

### PROJECT CLOSEOUT PROCEDURES PROCESS FLOW SUMMARY



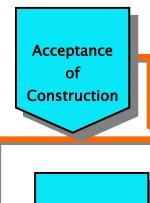
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Appendix - Examples of Documents

This document describes the procedures that the Real Estate Services Division follows to close projects. "Closure" of projects should include the following tasks:

#### Introduction



**Task 1.** Acceptance of Contracts – validation that legal and technical contract requirements have been met by the contractor so that the contract can be closed.



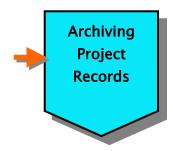
**Task 2.** Responding to a Claim – ensure appropriate actions are taken to review the claim and respond with processes that conform to requirements in the General Conditions.



**Task 3**. Responding to a Warranty/Guarantee Issue – Ascertain that arrangements are in place so that potential warranty items can be reviewed for validity, carried out by the appropriate party, with appropriate coordination and communication, and with verification that the correction was completed in an appropriate fashion.



Task 4. Reconciliation and Closeout of Financial Accounts – Confirmation that all associated expenditures, internal and external, have been identified, submitted for reimbursement, validated, and paid out of the account. After reconciling all revenues and expenditures, ensure that any unused funds or deficits are handled appropriately. Then close the account to stop further financial transactions against this work order number.



**Task 5.** Archiving Project Records – Gather and consolidate relevant files for archiving, while eliminating redundant files. Files to be archived are first cataloged, so that they can be retrieved if necessary, and then placed in storage for a prescribed period of time.

#### **Introduction**, continued

The purpose of this document is to discuss the above tasks as they are done for closeout of projects implemented by the Project Management Branch and the Professional Services Branch. Although the objectives during closeout are the same for both branches, each office has unique procedures and separate staff sections for carrying out the procedures.

This document was initiated and created by the Program Operations Team of the State Building Seismic Program with assistance from Turner/Vanir Construction Management.

#### The **Program Operations Team** consists of:

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Grateful acknowledgement is given to the many individuals who contributed their time and effort to provide RESD policies, review of the document, and examples for the appendix.

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#### Commonly used **abbreviations** in this document:

ABMS	Activity Based Management System
CMS-CCU	Contracts Management Section, Construction Contracts Unit
COA	Capital Outlay Accounting
CRP	Claims Review Panel
CSS	Construction Services Section
CTRP	Contract Time Review Panel
DCU	Direct Construction Unit

### Project Closeout Procedures Version 1.0 - 5/31/03

PD\* Project Director (managers of projects for PMB\*)
PM\* Project Manager (managers of projects for PSB\*)

PMB Project Management Branch
PSB Professional Services Branch

\*For simplification, managers of projects for PMB are referred to as Project Directors (PDs) in this document. Managers of projects for PSB are referred to as Project Managers (PMs). Both branches have managers of projects that hold other titles.

This is a "living" document and subject to change. The first edition is being issued as Version 1.0.

## REAL ESTATE SERVICES DIVISION PROJECT CLOSEOUT PROCEDURES

Task 1:

Acceptance of Contracts



Task 1a: Acceptance of Contract - Construction

The purpose of this task is to verify that the contractor has met legal and technical contract requirements so that the contract can be closed. *Completion of the construction work* differs from *acceptance by the* 

Director of General Services of the contractor's construction contract. Completion of the work includes activities to determine that the work has been implemented in compliance with applicable codes and regulations. During this phase inspections, punch lists and review by the State Fire Marshal and other regulatory agencies are performed. Acceptance of the

construction *contract* begins after the completion of the construction work.

#### 1 Closeout Submittals & Deliverables

Before the contract can be accepted, the contractor must turn over to the State any contract required documentation or other deliverables. Although submittals usually begin arriving from the contractor early in the project, it is typical for many to be remaining to be turned in at the end of the

Definitions per the General Conditions of the Contract (July 2002 draft edition) for Construction:

Completion: When the entire Work is completed in accordance with all Contract requirements, as determined by the State.

project. The Project Director (PD) or Project Manager (PM) may wish to use tools such as the Closeout Checklist ( $Example\ 1-01$ ) to keep track of items that have not been turned in. These may include closeout items such as:

 Permits to operate as applicable for the project; such as elevator permits and boiler operation permits from the appropriate Air Quality Control Board, American Disabilities Act, and the State Fire Marshal, etc.

- Project Record Documents, including as-built documents.
   The procedure for receiving updated as-built drawings is usually as follows:
  - The General Contractor (GC) submits updated as-built drawings to the inspector.
  - The inspector verifies the GC's markups against his own set of as-builts. If not returned for corrections/additions, one set of drawings is sent to the Project Manager.
  - The Project Manager transmits them to the architect/engineer (A/E). The A/E integrates the appropriate changes into the contract document asbuilts.
  - The as-builts are put onto Mylar or other good quality transparency and transferred to RESD's archived hanging files.
- Compact disk(s) containing electronic project record documents, such as Word or Excel files, AutoCad, Construct Ware files, etc. These will be retained by the Project Manager/Project Director and archived with the other records.
- Operating and Maintenance Data, including instructions to the end user.
- Warranty Information, including:
  - Beginning and expiration dates of the warranty.
  - The name, address and phone number of the contractor and/or vendor furnishing the warranty.
  - The equipment or portion of the building covered by the warranty.
- o Keys and Keying Schedule.
- Spare parts, special tools and Maintenance Materials.
- Contractor's statement of completion of all punch list items.
   The contract may require the contractor to provide a written statement that the contractor has corrected all remaining punch list items.
- Owner training

-4-

It is important for the PD/PM to document that contract required materials have been received, and to document that items such as warranties and Operation and Maintenance Manuals have been forwarded to the end users that will need them to operate the project. (Example 1-02.1).

#### 2 Completion of Construction Work

When the contractor feels that all work is complete, the contractor will request a final inspection by the State. The General Conditions state that the contractor should not request a final inspection until all work, including items identified on previous punch lists, are completed. The State then has 14 days to conduct a final inspection after receipt of the contractor's written request *(reference Document 00700 – General Conditions of the Contract for Construction).* 

The contractor's request for final inspection must be made in writing. The PD/PM may choose to provide a "Contractor's Certificate of Completion" form, RESD 383–78 (Rev 1/2000) (Example 1-03) to the contractor for the contractor to fill out, or the contractor can submit the request in letter form.

The inspection is held. If the inspector determines that all work is complete, the inspector will determine the date of the completion of the work and recommend that the Director of General Services "Accept the Work." The General Conditions specify this must be *written* acceptance by the Director or the Director's designee. (See section 5.1 below for more information). The Director or designee has 60 days to accept the work after the date of completion of the work.

If the final inspection indicates that there are punch list items that have not been cleared, the PD or PM notifies the contractor in writing of these deficiencies. After correcting all deficiencies the contractor shall again request final inspection, in writing. If the process of re-inspection and correction of deficiencies goes beyond the Contract Time, the contractor may be assessed liquidated damages.

#### 3 Non-Completion of Construction Work

There may be occasions where it is preferable to make other arrangements rather than wait for the contractor to correct deficiencies. Instead of

requiring correction and/or removal of non-compliant work, the State may require that the Contract Sum be reduced as appropriate and equitable. Alternatively, the State may withhold 125% of the value of each item remaining (in accordance with Public Contract Code Section 10261). This will allow closeout of the contract to continue, and the remaining items of work may be corrected or completed through means other than the original contract.

#### 4 Processing the Contractor's Last Progress Payment

Once the inspector has determined that all work is complete, the PM/PD prepares the last progress payment (Examples 1-4 PMB, 1-4 PSB, and 1-05-E PMB).

#### 4.1 Include Outstanding Issues

The final progress payment must address all outstanding issues including:

- 4.1.1 Payments for all change orders: Prior to acceptance of the contract, remaining contract change orders should be resolved and executed so that their value can be included in the Final Payment.
- 4.1.2 Assessment of liquidated damages: If the contract includes provisions for liquidated damages, and conditions justify assessment of damages, damages may need to be deducted from the final payment.
- 4.1.3 Resolution of disputes: Disputes should be resolved during the course of the work. If resolution is not possible, do not let a dispute hold up the acceptance and completion process.

After preparation, the last progress payment is sent to Capital Outlay Accounting (COA) for processing.

#### 5 Acceptance of Construction Contract

During the contract acceptance phase there are two main components, the Director of General Services' acceptance of the contract and the contractor's acceptance of the final payment.

# 5.1 "Contract Final Completion Report and Acceptance" form The inspector has determined that the contractor's work is complete. The next step is the issuance of a "Contract Final Completion Report and Acceptance" form.

On PMB projects, there is a precursor to the Contract Final Completion Report and Acceptance. This is a form issued by the Construction Support Services (CSS) Area Office to communicate to PMB that the inspector has determined that the contractor's work is complete. This precursor form is entitled "Contract Final Acceptance Report" (Form# CSS 321-4P, Example 1-06-PMB). Upon receipt of this form, the Project Director, assisted by the Business Operations Policy and Planning Branch (BOPPB) Contracts Management Section, Construction Contracts Unit (CMS-CCU) generates the "Contract Final Completion Report and Acceptance" (Example 1-07.1-PMB). The PD determines contract time, liquidated damages, withholds, retention, etc. as appropriate. This form is then sent to the Chief of PMB recommending that the Chief accept the contract. The Chief of PMB, having delegated authority to accept projects on behalf of the Department of General Services, signs the second page of the form (Example 1-07.2-PMB). The signed form is sent to CMS-CCU.

On PSB projects, the "Contract Final Completion Report and Acceptance" form (form #RESD 321-4 - *Example 1-06.1-PSB*) is generated by the CSS Area Construction Supervisor and sent to the Chief, CSS for signature. The Chief of CSS signs as a designee of the Director of General Services, indicating acceptance of the contract (*Example 1-06.2-PSB*). The signed form is then sent to CMS-CCU.

After the Director or Designee accepts the contract, CMS-CCU sends a letter to the contractor, notifying contractor that the contract has been accepted and the Proposed Final Payment will be

processed (Example 1-10). A copy of this letter is sent to the bonding company. CMS-CCU then sends a notification memo of the Director's acceptance to Capital Outlay Accounting with a copy of the signed acceptance form to notify them that the Proposed Final Payment can be processed (Example 1-11).

For PSB projects, CMS-CCU provides a support service to COA, checking each change order and progress payment for discrepancies before calculating the amount of the Proposed Final Payment.

For PMB projects, CMS-CCU coordinates with the PMB PD and COA to confirm that the number of change orders, the total dollar value of change orders, and the amount of the Proposed Final Payment is correct prior to placing these statistics on the notification memo.

After Acceptance of the Work by the Director or Director's designee, the retention held by the State will be released (generally as the Proposed Final Payment) and the contractor will be relieved of the duty of maintaining and protecting the work.

#### 5.2 Extension of Contract Time

- 5.2.1 The Contract Final Completion Report and Acceptance (Example 1-07-1 and -2-PMB and Example1-06-1-PSB) contains selections for the Director or designee to an extension of contract time in addition to acceptance of the contract. The contract time can be:
  - 1) Extended to date of acceptance (no contract time overrun)
  - 2) Extended for causes as stated in the contract (time extension given through change orders, no assessment of liquidated damages)
  - 3) Extended for causes not stated in the contract

- 4) Extended for a portion of the time overrun, leaving a balance of unjustified contract time overrun.
- 5) Deferred for further investigation by the Contract Time Review Panel (PSB projects only).

#### 5.2.2 Contract Time Review Panel (CTRP)

On PSB projects with contract time overruns that are controversial, or not covered by the causes stated in the contract documents, the extension of contract time or assessment of liquidated damages can be deferred for investigation by the Contract Time Review Panel. See the attached document developed by PSB, "Contract Time Review Panel and Claim Review Panel Procedures" (Example 2–01).

In general, the Project Manager researches the contractor's claim for additional time (within 14 days of receipt of the claim from CSS) and makes a presentation to the Contract Time Review Panel. While this is being carried out, COA sends a "Statement of Contract" (Example 1.13-C) to the contractor, providing a recap of payments and withholds. If money is due to the contractor, a check is included. The Statement of Contract is provided in lieu of the Statement of Proposed Final Payment (Example 1.13-PFP). Once received by the contractor, the Statement of Proposed Final Payment signals the beginning of the contractor's 30-day timeframe to initiate a claim. The Statement of Contract meets the requirements of the General Conditions section 8.6.2 and allows time for the potential overrun to be evaluated. After the CTRP makes a decision, CTRP sends a "Contract Time" Extension and Assessments" form (Example 1-12) to the contractor. In addition, COA sends the Proposed Final Payment to the contractor.

#### **5.3** Notice of Completion of Contract

CMS-CCU issues a form, "Notice of Completion of Contract" within ten days of the Acceptance Report's approval, pursuant to code.

The Notice of Completion of Contract form is signed by the Contracts Manager, notarized, and sent to the County Recorder of the County where the project is located. The County Recorder's office will stamp a date and identification number on it and return the form to CMS-CCU for the State's records (Example 1–09).

#### 5.4 Processing the Proposed Final Payment

- 5.4.1 Upon acceptance of the contract by the Director or the Director's designee, the PM/PD, with the assistance of CSS, prepares the Proposed Final Payment application (Example 1–08 PMB and 1–08 PSB). If the project includes an escrow retention agreement, an "Application for Escrow Payment" (Example 1–08–E) is used. The final application must include release of any monies withheld, including release of any retention not previously surrendered.
- 5.4.2 Processing the Proposed Final Payment consists of these steps:
  - 1. For projects being implemented by PMB, the Project Director prepares the Proposed Final Payment Application (Example 1-8-PMB). The Project Director and the CSS Construction Supervisor are signatories.
    - For projects being implemented by PSB, the Application (Example 1–8–PSB) is prepared by the CSS Construction Supervisor, signed by Construction Services and approved by the CSS Chief or designee.
  - 2. The "Application for Payment" is submitted for approval as usual. However, it is important that this Application form indicate that this payment will be the final payment. (On both the PMB and PSB forms, there is an area where "Final Payment" can be marked. If "Final Payment" is not indicated, retention will not be released.)
  - 3. The Application for Payment is sent to DGS Capital Outlay Accounting office with a copy to CMS-CCU. Accounting determines whether there are stop notices

against the project and reviews the Application for accuracy.

If the agreement involved escrow retention, the PMB Project Director, with the assistance of CMS-CCU or the PSB Project Manager with the assistance of CSS, prepares a letter to the bank requesting that all or part of the retention be released to the contractor from the Escrow account (Example 1–14). It is imperative that PMB Project Directors coordinate the release of escrow retention with CMS-CCU so that the final retention amount can be quoted as the Proposed Final Payment. The COA signs off on this letter indicating that COA has reviewed the information for accuracy and a review for stop notices or withholds has been conducted. The letter is forwarded to the Director's designee for signature, and then submitted to the bank.

- 4. A copy of the "Application for Payment" (Final) is sent to CMS-CCU by Accounting after Accounting signs it and schedules payment.
- 5.4.3 For all PMB projects and those PSB projects without controversial contract time overruns, a "Statement of Proposed Final Payment" (Example 1–13–PFP) is sent to the contractor by Capital Outlay Accounting with a check in the amount of the Proposed Final Payment. The Statement indicates the original contract amount, change orders, previous payments, and balance due. A copy of this document is sent to the CMS–CCU. If the project is being implemented by PSB, a copy is also sent to PSB's Cost Control Section. The statement includes information that if the contractor desires to file a claim for additional monies with RESD, the contractor must do so within 30 days after receipt of this Statement. Failure to do so within this period will constitute a waiver of all rights to any additional compensation.

5.4.4 For PSB projects with a controversial time overrun, the project is referred to the Contract Time Review Panel (see section 5.2.2 above).

#### 5.5 Contractor Acceptance of the Final Payment

The contractor has three options:

- Contractor can respond to the Statement in the required time frame, indicating that contractor accepts the Proposed Final Statement. The Proposed Final Payment becomes the Final Payment.
- 2. Contractor can elect to not respond to the Statement in the required time frame, thereby surrendering the right to file a claim. The Proposed Final Payment becomes the Final Payment.
- 3. Contractor can respond to the Statement in the required time frame, indicating that contractor does not accept the Proposed Final Statement, and that a claim for additional monies will be filed. (See Task 2 Responding to a Claim.) Contractor must provide detailed information to support the claim.

After the required time frame has passed, CMS-CCU confirms that no claims have been made and sends a notice to Capital Outlay Accounting advising them of the contractor's response; either acceptance, non-acceptance, or no response (Example 1-15).

Capital Outlay Accounting uses a form letter (Example 1-16) with check-off boxes for each of the three scenarios described above as a transmittal of the final payment to the contractor, with copies to CMS-CCU and the contractor's bonding company. If the project is being implemented by PSB, a copy is also sent to PSB's Cost Control Section.

This 3-scenario form letter is also used to transmit notification of final payment, or \$0 payment, if the contractor did not provide any

response within the 30-day period, and for the occasion where the State rejects the contractor's claim.

#### 6 Release of Escrow Bid Documents

If the contract included escrow bid documents, the PD/PM can release them to the contractor after the final payment has been issued and verification received that the contractor is not going to file a claim.

#### 7 Projects Implemented by the Direct Construction Unit

For those projects implemented by the Direct Construction Unit (DCU), project closeout is facilitated by the use of the "Project Certification" (Form DCU 44,  $Example\ 1-17$ ). This form tracks receipt of closeout items such as Operation and Maintenance Manuals, keys, warranties, as-built drawings, and salvaged materials. When all items have been received, the DCU will issue a "Final Project Completion Notification Letter" (Form DCU 45), signed by the Assistant Chief of the Construction Services Section, notifying PSB's Cost Control Section that the project is complete and that the files will be archived ( $Example\ 1-18$ ).



#### Task 1b: Acceptance of Contract - <u>Professional Services</u> Contract

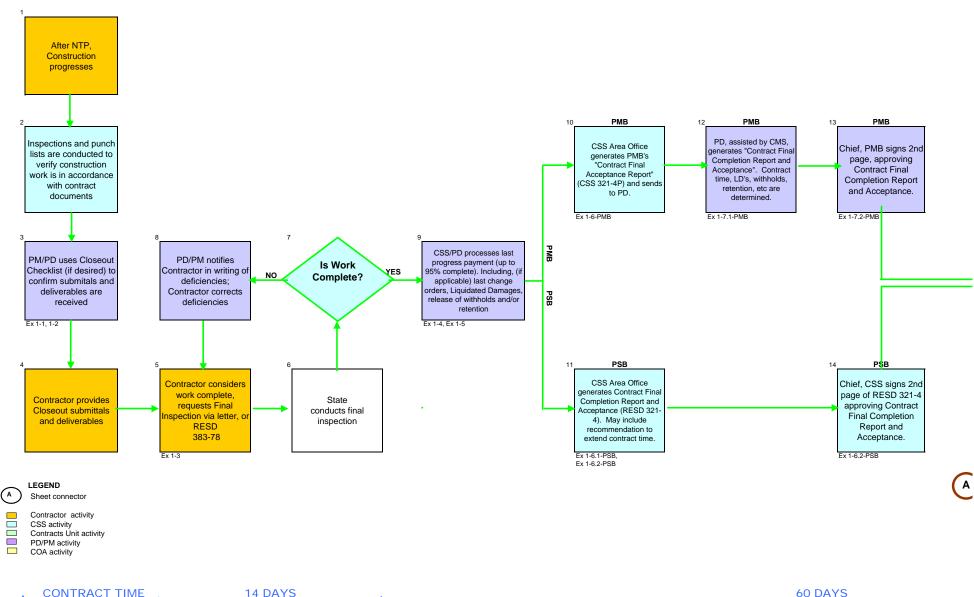
Acceptance of a professional services contract (such as an architect or engineer) is similar to that of a contractor, but with fewer steps. The purpose is the same – to validate that the firm

has met legal and technical contract requirements so that the contract can be closed.

- Closeout Submittals As with acceptance of the contractor's contract, closeout submittals are a requirement for acceptance. Closeout submittals for consultants will include the contract required deliverables such as drawings, engineering calculations, and record drawings. There may also be specialized requirements related to the type of project. For example, on seismic retrofit projects done as part of the State Building Seismic Program, projects are implemented for the purpose of reducing the structure's vulnerability if exposed to an earthquake. As a prerequisite of closeout, the Structural Engineer of Record must submit a letter to the PM/PD at the completion of construction, attesting that the project now meets or exceeds the DSA Risk Level specified for this project. Check the consultant's contract to determine the deliverables required.
- Final Payment Consultant contracts often have a clause for retaining a portion (usually 10%) of the earned amount until the completion of the project. When the professional services work has been completed, the Project Director or Project Manager needs to request the firm to submit a letter stating that 1) obligations of the contract have been met in full and 2) requesting the State to "release retention of previously withheld amounts." Be careful not to appear to be giving direction to bill for the same services twice.
- 3 Escrow Retention Agreements If the contracts involve an escrow account, the procedures are very similar to those for a construction contract. However, there are some extra steps, and different forms are

required. Please check with the Architectural and Engineering Contracts Unit for more information.

#### ACCEPTANCE OF CONSTRUCTION CONTRACT

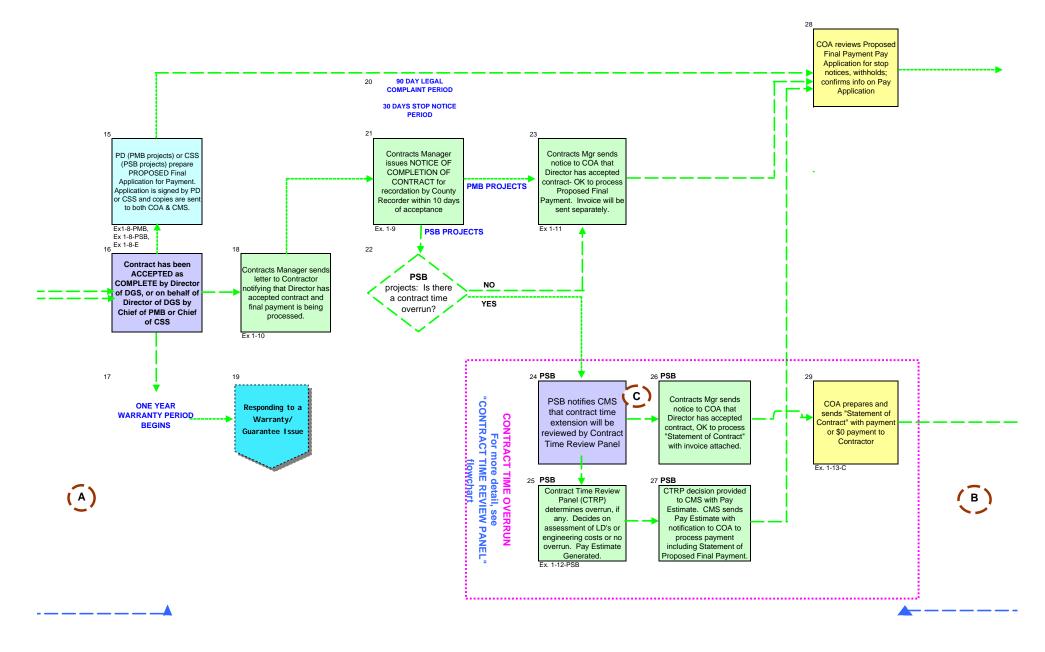


CONTRACT TIME 14 DAYS

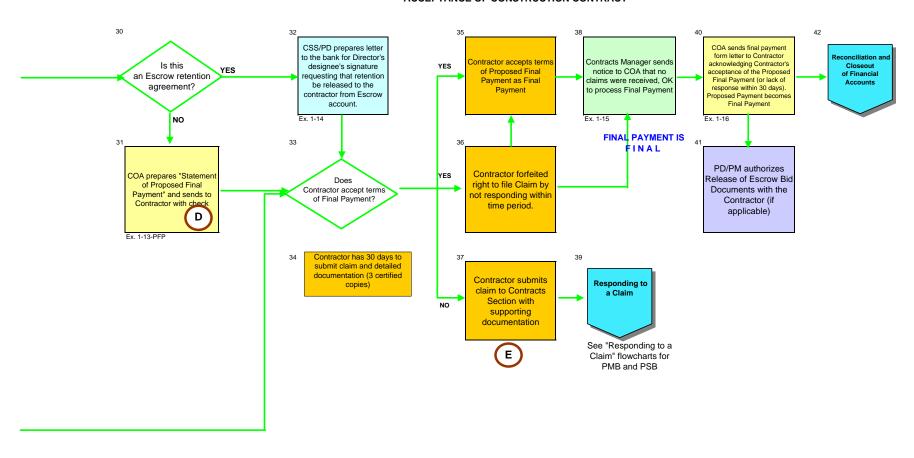
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### PROPOSED FINAL PAYMENT IS PROCESSED

#### ACCEPTANCE OF CONSTRUCTION CONTRACT



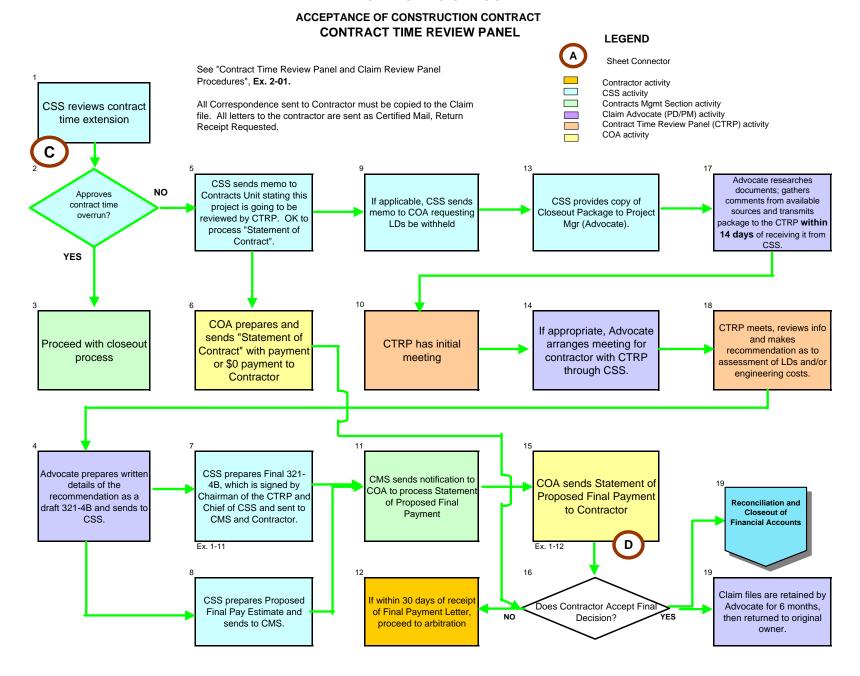
#### ACCEPTANCE OF CONSTRUCTION CONTRACT



В

30 DAYS

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## REAL ESTATE SERVICES DIVISION PROJECT CLOSEOUT PROCEDURES

Task 2:

Responding to a Claim



**Task 2 – Responding to a Claim** (see Article 9 of the General Conditions)

The purpose of this task is to ensure that if a claim is received, the response will be appropriate and in accordance with the requirements set forth by the General Conditions.

#### 2.1 Procedures for Responding to a Claim - Project Management Branch

- Once the contractor has submitted a claim with supporting documentation, the Contracts Management Section, Construction Contracts Unit (CMS-CCU) sends notice to the PD and COA that a claim was received and Final Payment cannot be processed until the claim is resolved.
- 2. The Project Director sends a letter to the contractor acknowledging receipt of the claim.
- 3. The Project Director reviews the claim and consults with the Office of Legal Services (OLS).
  - If their review indicates that any portion of the claim has merit, the Project Director can issue a change order to compensate the contractor for that portion of the claim. The Project Director negotiates a price for the Change Order with the contractor, and then prepares a pay estimate in the amount of the negotiated Change Order. Capital Outlay Accounting will issue the final payment form letter (Example 1–16) indicating that the Proposed Final Payment, sent previously (see section 5.4.4 of Task 1 of this document), plus the change order amount, equals the Final Payment.

- If the claim is deemed invalid, the PD notifies the COA to issue the final payment form letter, indicating that the claim is denied and the Proposed Final Payment, sent previously, is the Final Payment.
- 4. The PD sends a letter to the contractor notifying of the determination, and including, if applicable, a change order, and notification of the arbitration process.
- 5. If the Contractor does not accept the State's decision, the Contractor can pursue the claim via the arbitration process. However, the Contractor must notify the State of this intention within 90 days of receipt of the State's final decision. If the contractor pursues arbitration, an arbitrator is selected who is mutually acceptable to both the contractor and the State. Both sides present their cases to the arbitrator. The arbitrator's ruling is binding. If the contractor wishes to pursue this further, a description of the recourse available can be found in Public Contract Code Section 10240.12.

### 2.2 Procedures for Responding to a Claim - Professional Services Branch

For procedures involving the Professional Service Branch's Claims Review Panel, please see the document developed by CSS (Example 2–01). As explained in this document, it is important that the PM remember that "time is of the essence" with regards to reviews by the Contract Time Review Panel and the Claims Review Panel. The required time frames have been indicated below.

In brief, the PSB procedures are as follows:

1. The CMS-CCU prepares a "Contractor's Claim Transmittal" form (Example 2-02-PSB). This is an internal document used for tracking the claim package as it is routed through the various departments. The Contractor's Claim Transmittal form is attached to the Claim package.

- 2. The CMS-CCU sends an acknowledgement of receipt of the claim to the contractor (Example 2-03-PSB).
- 3. The CMS-CCU transmits the claim to COA with notification that the Final Payment cannot be processed until the claim has been resolved (Example 2-04-PSB). Copies are sent to the Project Manager and CSS. The CMS-CCU prepares an "Encumbrance Record for Contractor's Claim" (Example 2-05-PSB) and sends to COA.
- 4. The Advocate (Project Manager) has 10 days to research the claim. The Advocate then makes a presentation to the Claims Review Panel.
- 5. The Claims Review Panel reviews the claim and makes a recommendation. The Advocate prepares a draft Final Decision letter within two days of the Claim Review Panel's recommendation and sends it to the Chief of CSS for review and approval (Example 2-06-PSB).
- 6. After approval of the CRP's recommendation the Chief of Construction Services Section issues a Final Decision (Example 2-06-PSB) in the form of a letter to the contractor. Minutes of the Claim Review Panel's meeting and Claim Item List are attached. (Example 2-07.1 and 2-07.2-PSB).
- 7. If the Final Decision indicates that money is due to the contractor for any portion of the claim, a change order is prepared (Example 2-08-PSB). The Project Manager, or designee, with support from PSB's Cost Control Section and Construction Services Section, will negotiate with the contractor in order to finalize the change order (Example 2-09-PSB). COA will issue the Final Payment including the change order amount.
- 8. If the Final Decision is to deny the contractor's claim in its entirety, CMS-CCU requests that Capital Outlay Accounting send the final payment form letter to the contractor stating

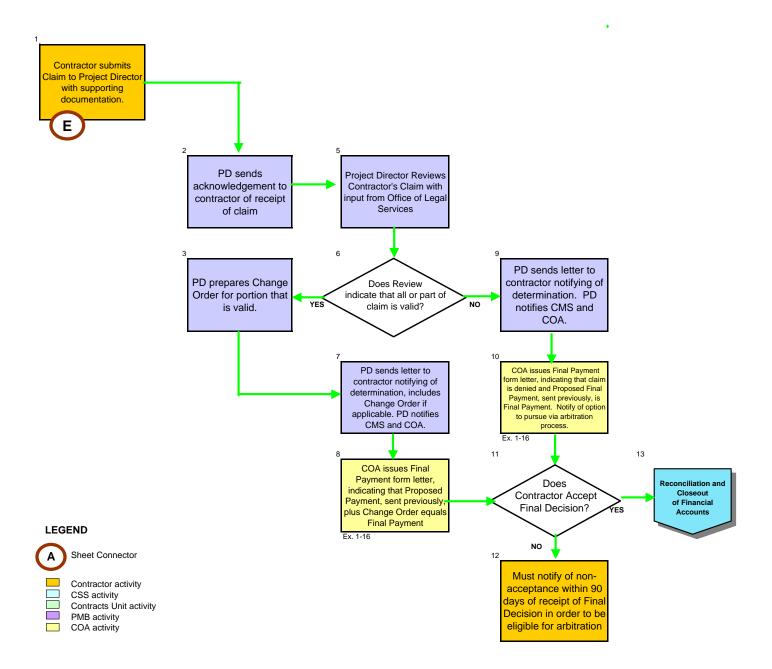
that the Proposed Final Payment will be considered the Final Payment.

- 9. After the Final Decision letter has been issued to the contractor, the CMS-CCU sends a "final claim payment memo" form letter to COA (Example 2-10) that has three options:
  - 1. □ Claim for additional monies received.
  - 2.  $\square$  No claim for additional money.
  - 3. □ Please process final payment for: \$\_\_\_\_\_
- 10. For those portions of the claim that were denied, the contractor has the right to file for arbitration. The contractor must file for arbitration within 90 days of receipt of the Final Decision. If the contractor pursues arbitration, an arbitrator is selected who is mutually acceptable to both the contractor and the State. Both sides present their cases to the arbitrator. The arbitrator's ruling is binding. If the contractor wishes to pursue this further, a description of the recourse available can be found in Public Contract Code Section 10240.12.
- 11. Claim files are retained by the Advocate for six months.

  The files may then be returned to the original owner.

#### **RESPONDING TO A CLAIM**

#### PROJECT MANAGEMENT BRANCH



#### RESPONDING TO A CLAIM

#### PROFESSIONAL SERVICES BRANCH

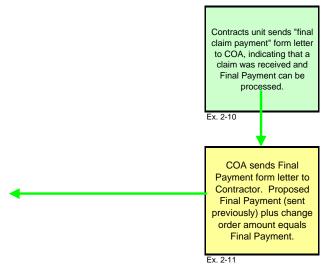
CLAIMS REVIEW PANEL (See "Contract Time Review Panel and Claim Review Panel Procedures", Ex. 2-01) 10 14 18 20 Advocate has 10 days to CMS sends notice to PM CSS makes Claim Item List Contractor submits Claim to research documentation; If CRP requests, CMS prepares CSS (with Claim Package) copies of package for the Contracts Section with Advocate makes circulate claim for **Encumbrance Record** Advocate arranges Project Manager (Advocate) supporting documentation. and COA that a claim was comments from CSS area Claim Review CMS assigns a CF number. rec'd, Final Payment for Contractor's Claim Claim Review Panel (CRP) meeting for contractor office and others, and Presentation to CRP repares "Contractor's Claim and CSS's Claim Review cannot be processed until and sends to COA with CRP through CSS. compile info for Transmittal" form. resolved. File. presentation to CRP. Ex. 2-02 Ex 2-04 Ex 2-05 Ε 11 19 21 Chief of CSS Final Decision includes a CSS completes Change Order Unit, Advocate prepares a reviews/approves Does proposed change order. and/or PM and CSS Contracts Unit recommendation, draft Final Decision letter recommendation Final Decision indicate Contractor has 15 days to acknowledges receipt within 2 days of Panel's Minutes. Claim Item negotiate a final amount package; sends letter to that all or part of Claim is respond with opinion of recommendation, of Claim to Contractor List, draft Final with the Contractor, and YES valid? costs and supporting Contractor with Final transmits to CSS. Decision. issue a Change Order. documentation Decision. Copy to CMS Ex 2-03 Ex. 2-06 Ex. 2-08 Ex. 2-09 Ex. 2-07.1 16 NO Ex. 2-07.2 12 22 Contracts Unit requests COA to issue Final Paymer form letter to Contractor Does Contractor indicating that Proposed Accept Final Final Payment (sent Decision? previously) is now Final Payment. Includes info on arbitration process. Ex. 2-11 **LEGEND Sheet Connector** 13 17 YES Reconciliation and Contractor activity Closeout of Financial Contractor's right to file CSS activity Claim files are retained by **Accounts Module** for arbitration will end Contracts Unit activity Advocate for 6 months, then 90 days after receipt of Claim Advocate (PD) activity returned to original owner. **Final Decision** Claim Review Panel

Claim Advocate = Project Manager

COA activity

All Correspondence sent to Contractor must reference CF number, and be copied to the Claim file. All letters to the contractor are sent as Certified Mail, Return Receipt Requested.

Panel reviews Contractor's Claim and makes a recommendation



## REAL ESTATE SERVICES DIVISION PROJECT CLOSEOUT PROCEDURES

Task 3:

Responding to a Warranty/Guarantee Issue



Task 3: Responding to a Warranty/Guarantee Issue

The purpose of this task is:

- To take timely action to verify and correct warranty items covered under contract,
- To take action to coordinate the appropriate repairs with contractor and agency facility,
- To take action to verify correction of defect by contractor,
- To take action to report results of correction activities to agency facility.

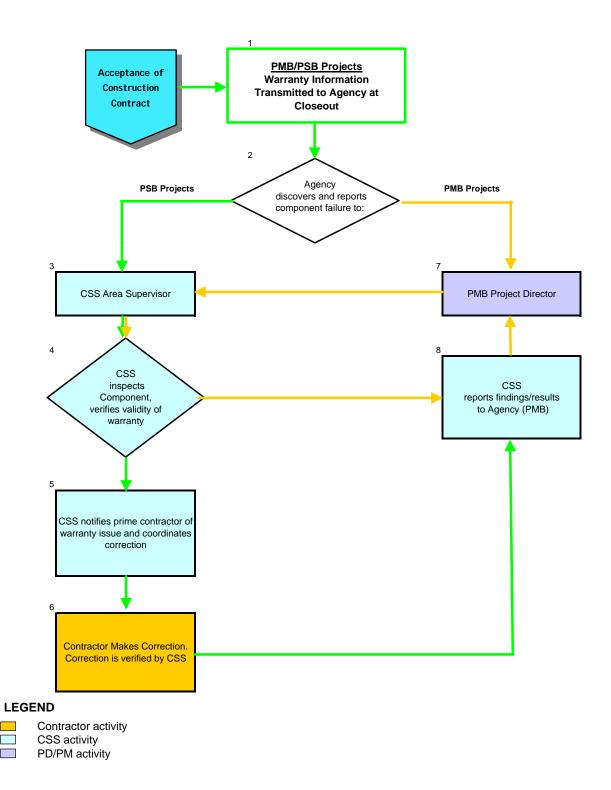
The validity of warrantees/guarantees for completed contracts is determined by the terms of the contract and/or contractor legal obligations. For all PSB projects (and PMB projects if contracted for) the Construction Services Section (CSS) will respond to reports of potential warranty issues by investigating, verifying, coordinating and reporting. The CSS representative dealing with the issue will verify how the contract is written to determine with whom the responsibility resides. Contracts are written in a variety of ways and often various components of the same project will differ in duration and whether the contractor, subcontractor, supplier or manufacturer is the responsible party. After the CSS representative makes the proper determination, they will follow through with coordination of access, inspection and verification of the completed correction. The CSS representative will advise the using agency (and PMB/PSB when applicable) on the status of the issue.

The correction of latent defect issues can be determined by the terms of the contract and/or by California State Contractor License Law. Contractor State License Law Section 7091 provides clear guidelines on contractor's responsibility for latent defects in structural and nonstructural components. The law sets the maximum time of latent defect responsibility by the contractor at four (4) years for nonstructural and 10 years for structural if the latent defect is found to be intentional.

Please note that financial accounts should not be closed until the expiration of the warranty period, in case funds are needed to enforce a warranty issue. Exceptions may be made for projects with warranty periods of longer than one year.

#### REAL ESTATE SERVICES DIVISION

#### **RESPONDING TO A WARRANTY/GUARANTEE ISSUE**



# REAL ESTATE SERVICES DIVISION PROJECT CLOSEOUT PROCEDURES

Task 4:

Reconciliation and Closure of Financial Accounts



accurately done,

# Task 4a: Reconciliation and Closure of Financial Accounts

The purpose of this task is:

- To verify that project accounting is complete and
- To verify that all justified expenses have been correctly applied against the project revenues,
  - To take action to identify causes if a project has a shortfall or excess of funds,
- To take action to remedy any shortfall or excess of funds, and
- To close the account to stop further financial transactions against the work order number.

#### 1 Reconcile accounts

Financial accounting is done by the Project Directors for projects being implemented by PMB. The Project Cost Analysis Unit provides accounting for those projects being implemented by PSB. The best sources for procedures to follow in reconciling and closing financial accounts can be found in the procedures written by PMB and PSB. The PMB document "ABMS Project Closure Procedures" is attached as *Example 4–01*. PSB's "Project Closeout" prepared by the PSB Cost Control Section is attached as *Example 4–03*.

The secret to a trouble-free financial reconciliation is proper budgeting followed by good accounting practices throughout the project. If costs can be anticipated and identified before they are needed, funding can be arranged in advance of the need to authorize expenditures. Frequent review of financial statements for completeness and accuracy is also helpful. Reconciling financial accounts should be an on-going process during the project; it is not advisable to wait until the project begins

closeout proceedings. There are a variety of reports and project documents that can be obtained to assist in this process: The Project Estimate, Statement of Finances, PSCA Cost Revenue Report, ABMS Downloaded Expenditure Detail, Analysis of Time Charges Report, etc. PMB also utilizes reports such as DGS PA Expenditure Detail, MGT Expenditures Detail, MGT Expenditures Summary, DGS Encumbrance Detail Report. See the ABMS User's Guide for more information. Data can also be exported from ABMS to an Excel spreadsheet, if needed. The process to reconcile accounts should start at the beginning with a confirmation of available funding:

- 1.1 Review Authorization, budget language, Executive Orders (EO), loans, etc.
- 1.2 Review available income
- 1.3 Review funding agreements (Form22, 220, 221, etc.) or other sources of revenue for completeness and accuracy in posting.
- Have all expenditures (internal and external) been identified?

  Identify all entities, external or internal, that may have committed time or resources to this project. External entities may include A/E firms, hazmat consultants, historical review, environmental review, materials testing, swing space relocation expenses, blueprinting expenses, etc. Also consider entities internal to the State system: Any interagency agreements, CDC guarding costs, Construction Services Section (CSS) inspection costs, telecommunication expenses, entities within your own department, charges for your own time, and charges for the time of other staff.

Confirm that all expenditures associated with this project, internal and external, have been identified, submitted for reimbursement, validated, and paid out of the account. For this reason, financial accounts should not be closed until one year after the work has been accepted by the Director of General Services, in case funds are needed to enforce a warranty issue. Check that other contracting devices, such as Task Orders for interagency agreements, retainer contracts and service agreements have had invoices submitted against them. At project completion, the "Commitments" column in the ABMS reports should indicate a "zero"

balance. A balance greater than zero indicates that there is an outstanding "commitment" or agreement, that expenditures can be charged against this task that have not yet been submitted for payment.

# 3 Request missing expenditures

Review and validate expenditures that are received as a result of this announcement. If the charges are valid, approve reimbursement/payment.

If your review results in an adjustment to ABMS, it is important that the Consultant Contracts Section is notified of any financial adjustment that affects contracts or consultant contracts.

#### 4 Review actual expenditures against the revenue budget

Review the current balance for each phase, comparing remaining commitments against budgeted expenditures.

- 4.1 If it appears that actual expenditures will exceed the revenue budget, determine corrective action and/or discuss with your supervisor.
- 4.2 Review the savings and/or deficit with your supervisor (PMB) or Manager, Project Cost Analysis Unit (PSB).
- 4.3 Cost overruns must be justified in writing. Provide a copy of the justification for the file with concurring signature of supervisor. It may be possible to augment the project with the approval of the Public Works Board and Department of Finance.

### 5 "Zeroing out" the Commitments Column

At project completion, the "Commitments" column in the ABMS reports should indicate a "zero" balance.

For PMB projects, there may be exceptions to this rule. The cost of contract may be indicated under the encumbered amount. In this situation, the Project Director notifies Capital Outlay Accounting in the close out letter (see Item 6) whether a payment is expected, or if the remaining balance should be disencumbered.

If there is a remaining balance in the Commitments column on PSB projects, the PSB Project Analyst of the Project Cost Analysis Unit (after consulting with the Project Managers) emails instructions to COA to disencumber funds and request that available funds are returned to the fund from which it was appropriated.

### 6 Request project financial account to be closed

A letter is prepared and sent to Capital Outlay Accounting requesting remaining funds to be returned to Client Agency if applicable, or for funds to be disencumbered ( $Example\ 4-02$ ). The letter requests the project to be closed, effective as of a specific date, once appropriate action has been taken with the funds.

For projects implemented by PMB, this letter is prepared and signed by the Project Director. Although it is addressed to Accounting, it is sent first to the PMB Budget Analyst. The Analyst collects all closure letters, changes the project status in ABMS to "Pre-Close" and transmits them as a group at the first of the month to Capital Outlay Accounting. Copies of the letter are sent to the Client Agency, at the discretion of the Project Director. The Fund Transfer Analyst will send a copy of the AFS-59 to the Client Agency.

For projects implemented by PSB, the Project Analyst of the Project Cost Analysis Unit prepares this letter. PSB then holds the file until the Return of Funds Transfer Document (AFS-59) signed by DGS Capital Outlay Accounting is received. The Project Analyst will forward a copy of the AFS-59 to the Client Agency. Copies of all reports/documents are filed and notations made of pertinent changes and/or actions of the project on the file "Action Sheet". The file is reviewed to ensure all documents requiring signature approvals are complete. Remove duplicate documents from file. The project file should be marked as "Pre-close" as of the date specified in the letter to Capital Outlay Accounting. Set the project files aside to be archived.

### 7 Coordination with Statewide Property Inventory

The Statewide Property Inventory (SPI) form must be completed by the Project Director or Project Manager when a property is purchased, sold or if a major change occurs to a piece of property already owned by the State of California.

A SPI form must be completed if any of the following occurred during the project:

- 1. Acquired or purchased real property.
- 2. Sold real property.
- 3. Added through purchase or other means an additional section of real property to a piece of real property already owned by the State.
- 4. Sold a portion of real property that was owned by the State. State retains ownership of the remaining part.

- 5. Demolished a building and then built a new building.
- 6. Converted a building to a different use. For example, converting a warehouse into an office building.

This list is not a complete list, but it is intended to be a guide as to situations where the SPI form must be completed. More information can be found at Statewide Property Inventory web site <a href="http://spiweb.dgs.ca.gov">http://spiweb.dgs.ca.gov</a> and in the Appendix, Example 4–04. If the project meets the above criteria, please complete the SPI form "Statewide Property Inventory, Project Coordination" (Example 4–05–PMB) and return an electronic copy of the completed form to the PMB Program Analyst. An electronic copy of the SPI form can be found at L:\Master-Forms\PMB Project Related Forms. The file name is SPI Form.dot. If the project does not meet the requirements for completing the SPI form, please enter the project number and then note on the form that completion of the SPI form is not required for this project and return the form to the PMB Program Analyst.

8 Capital Outlay Accounting will change ABMS project status to "Close".

Reconciliation and Closeout of Financial Accounts

# Task 4b: Reconciliation and Closure of Financial Accounts- <u>Terminated or Incomplete Projects</u>

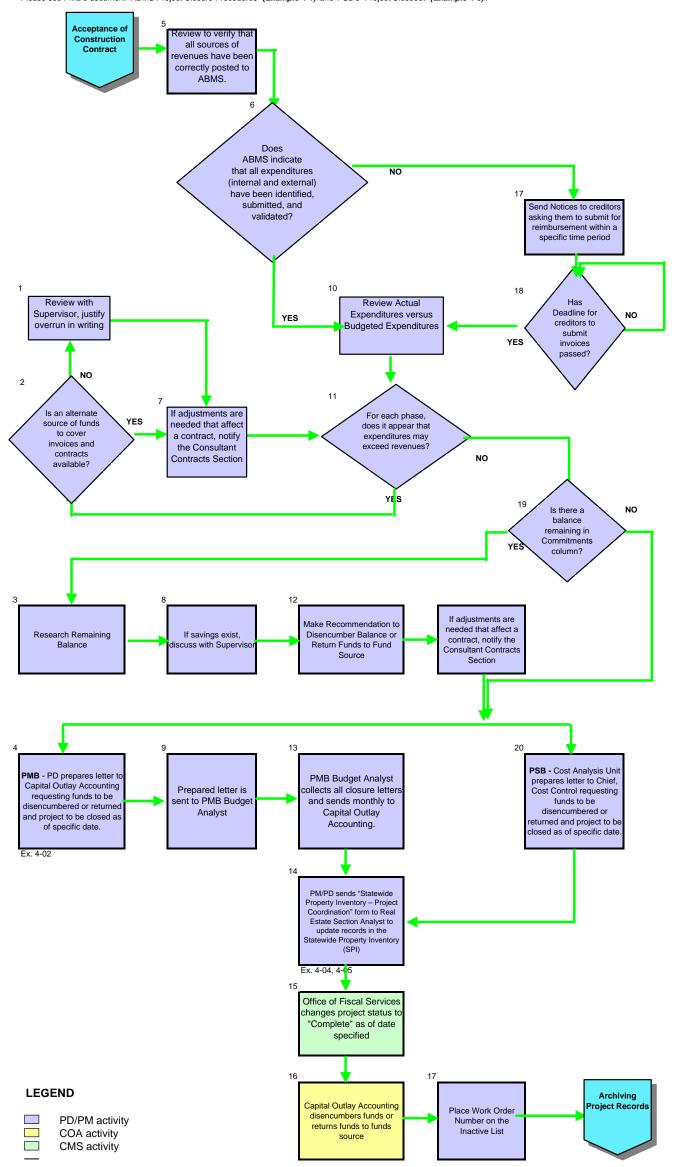
Occasionally there are projects that must be terminated before they are completed. At such times there may be funds remaining that have not been spent, and now,

will not be needed. First, the Project Director or Manager needs official confirmation that that project is indeed "dead." Then, the procedures are the same as described in Task 4a above; request creditors to submit invoices against the work order number. The Project Director or Manager may need to send a letter announcing the termination and requesting invoices for services to date. When all invoices have been received, request that funds are disencumbered and/or returned to the fund source from which they were appropriated. Be sure to include funds that have been appropriated for future phases.

#### REAL ESTATE SERVICES DIVISION

#### RECONCILIATION AND CLOSURE OF FINANCIAL ACCOUNTS

Please see PMB's document "ABMS Project Closure Procedures" (Example 4-1) and PSB's "Project Closeout" (Example 4-3).



# REAL ESTATE SERVICES DIVISION PROJECT CLOSEOUT PROCEDURES

Task 5:

**Archiving Project Records** 



Task 5: Archiving Project Records

The purpose of this task is to gather and consolidate relevant files for archiving, while eliminating redundant files. Files to be archived are first cataloged, so that they can be retrieved if necessary, and then placed in

storage for a prescribed period of time.

# 1 Timing of Archiving

Files should not be archived if the contract has not been accepted. If the contractor has filed a claim, the files may be needed to research and resolve the dispute. Also, prior to archiving files, the project financial account should be reconciled and closed so that no further charges can be made to the project's work order number.

### 2 Selecting Records to Archive

While projects are being implemented, records for the projects are being generated and maintained by several individuals and offices. These include the Project Director or Project Manager, Contracts Management Section, Construction Services Section, Special Programs Section, Cost Control Section, and sometimes a construction management consultant. Each of these sections generating records should be responsible for eliminating any duplicates or unnecessary paper within their own files. However, each section may have records that are duplicated in another section's records (copies of correspondence, funds transfers, contracts). To consolidate and check for redundancy, records for archiving will be gathered from selected sources:

2.1 Records for projects implemented by PMB will be gathered for archiving from the Project Management Branch Project Director, BOPPB Contracts Management Section, Construction Services

Section, and the construction management consultant (if applicable).

2.2 Records for projects implemented by PSB will be gathered from the Professional Services Branch Project Manager, BOPPB Contracts Management Section, Cost Control Section, Construction Services Section, Construction Services – Fiscal, and the construction management consultant (if applicable).

#### 3 Who Does the Archiving?

The person responsible for the archiving process varies from office to office. For projects implemented by PMB, the person responsible is the Project Director. For PSB, it may be a combination of personnel from Construction Services Section, the Project Manager, Cost Control Section and others. On the attached flowchart the person or persons responsible for the archiving process is referred to as "PR4AP."

#### 4 Review of Records

The person responsible needs to gather and consolidate records as noted above and review them for:

- 4.1 Anything not relevant to the project should be eliminated.
- 4.2 Duplications. As mentioned previously, it is probable that different offices will all have copies of some of the same documents and correspondence. Only one copy (preferably the original) needs to be retained. Duplicates can be purged (see exception of CSS items in 4.3 below).
- 4.3 Original records that are CSS Inspector Diaries or CSS Inspector correspondence are not archived, they are retained at the Construction Services Section office. Copies of these items are archived.
- 4.4 Electronic records. Please refer to the "DGS Electronic Records Management Handbook" that is available on DGS's website under "Records Management". Electronic records (and "hard" records) should be managed and retained according to your department's Records Retention Schedule (Schedule Form STD. 73).
- 4.5 As-built drawings. As-built drawings should be transferred to RESD's archived hanging files.

### 5 Records Retention Schedule (Schedule Form STD. 73)

As noted on DGS's website, the purpose of this form is "to establish a process for the transfer or destruction of records on a continuing basis. A records retention schedule is of little value unless it is applied regularly. If, after the initial house cleaning, the schedule is ignored, the results will be disappointing and the problem of accumulating unneeded records will remain unsolved." Once completed, the STD. 73 will contain directions of actions to be taken with respect to all records produced or maintained by the agency, including how long records are to be retained. The STD. 73 blank form is available on the DGS "Records Management" website (Example 5–1).

#### 6 Fill Out Record Transfer List Forms

The person responsible for archiving needs to fill out a STD. 71, Records Transfer List (*Example 5–02.*) This form is used to transfer custody of all records from the user to the State Records Center (SRC). There are specific instructions on the back of the form for filling it out. The form has entries for a description of records being transferred, depositing agency's name and address, volume in cubic feet of records being transferred, destruction date and method, type of information being stored, etc. The form also contains an entry for the Schedule Number, which can be obtained from the current STD. 73.

As the STD. 71 has limited space for information in the description area, it is helpful to create and maintain another, more detailed list of the contents of the boxes for use by your department (Example 5–03). This list can include additional information such as the project work order number, Project Director or Project Manager's name, and detailed notes about the contents of the files.

After the STD. 71 is signed by appropriate personnel, it is sent to the State Records Center (the boxes of files are sent separately, later). The SRC will return the STD. 71 with a number stamped for each box in the

<sup>1</sup> Also, the Records Management Chapter 1600 of the State Administrative Manual includes guidelines for determining the appropriate retention period for a variety of commonly used documents.

column titled "SRC Storage No. (For Records Center Use Only)". Should retrieval of records become necessary, this is the reference number that will be used to locate each box within the Records Center.

#### 7 Transfer the Boxes of Files

The files are placed, loosely packed, in storage boxes (refer to the DGS website for more information). Upon notification from the State Records Center that the records can be transferred, arrange shipment of the storage boxes to the State Records Center.

#### 8 Maintain Records

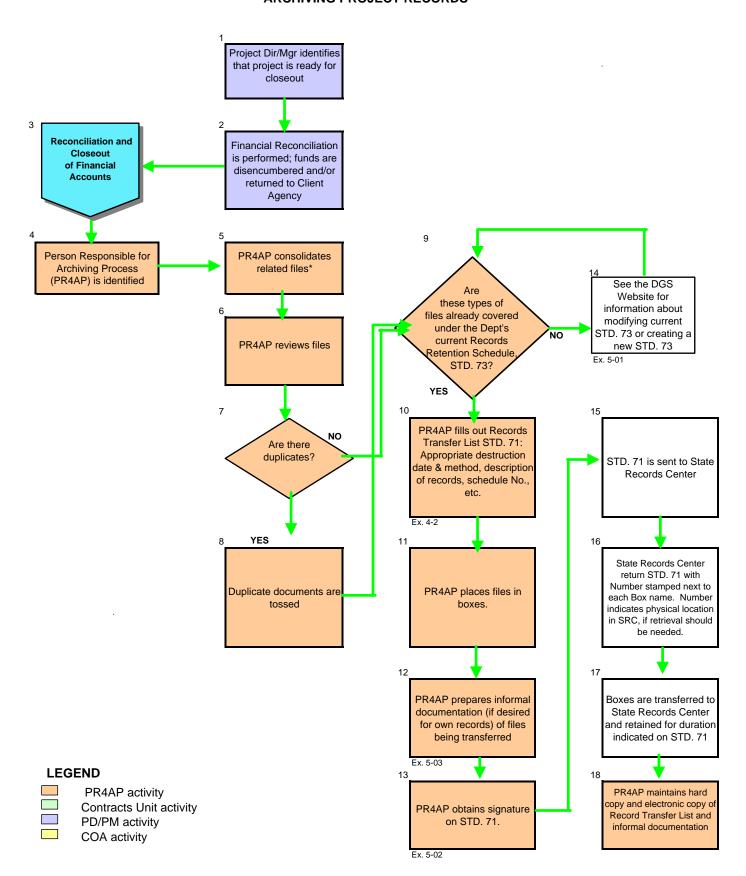
Maintain electronic copies and hard copies of the STD. 71, as well as the detailed in-house documentation, in case files need to be retrieved from the State Records Center.

#### 9 Retrieval of Records

Records stored in the Records Center may be reviewed at the Records Center or forwarded to the requester. In either case, a STD. 76 (Example 5–4) is prepared for each record requested. The STD. 76 references the SRC Storage Number; the storage location assigned to the box or shelf containing the requested records as stamped on appropriate Records Transfer List.

#### **REAL ESTATE SERVICES DIVISION**

#### **ARCHIVING PROJECT RECORDS**



PR4AP = Person responsible for archiving process

<sup>\*</sup> Related files may include inspection, change order section, estimating, cost control, files from other offices, etc.

# **EXAMPLES**

Task 1:

Acceptance of Contracts

# CONTRACT CLOSEOUT CHECK-OFF SHEET

REAL ESTATE SERVICES DIVISION (Rev 4/99)

	DATE May 29, 2002	
AREA SUPERVISOR	W.O. NUMBER	
Dave Pettway	OPDM 0791	
PROJECT CONSTRUCTION SUPERVISOR	CONTRACT	
Donald Davies	302334 PCU 1094	
PROJECT		
Fairview Developmental Center Seismic Retrofit, Resident	ence 11-16	

	TRANSMITTED TO CLIENT RECEIPT RECEIVED	TRANSMITTED TO AREA
AS-BUILT PLANS, SPECIFICATIONS	n *	×
SUPPLEMENTARY DRAWINGS, APPROVED JOB SUBMITTALS		×
AIR BALANCE AND EQUIPMENT REPORTS	44 🗆	
KEYS, OPERATING AND MAINTENANCE MANUALS, PARTS, ETC.		. ,,
ITEMS TURNED OVER TO THE CLIENT AS A RESULT OF CHANGE ORDER DELETIONS		
RECEIPTS FOR ITEMS TRANSMITTED TO AGENCY		×
ITEMS TO COMPLETE (SEPARATE MEMO)		
CONTRACT COMPLETION REPORT (ROUGH DRAFT FORM 321-4) AND FINAL PAYMENT ESTIMATE		$\boxtimes$
PROJECT STRUCTURAL PACKAGE		
DAILY DIARY AND VISITOR'S REPORTS		X
JOB CONTRACT FILE		X
COMPREHENSIVE RESUME FOR OVERRUN PROJECTS		
UNUSUAL GUARANTEES		□ N/A
REMARKS: *Awaiting as-builts from Structural Engineer	r	
All warranties have been submitted, except for required	II.	

May 9, 2002

Change Order

Report

Correspondence

Request for Payment

# LETTER OF TRANSMITTAL

RESD/PSB/CSS - T/V State Building Seismic Upgrade 2501 Harbor Boulevard Fairview Developmental Center Costa Mesa, CA 92626 W.O. No.: OPDM 0791 Tel: (714) 556-2412 Contract No.: 3023334(PCU 1094) Fax: (714) 556-2496 Subject: Warranties/O&M Manuals Date: To: Mike Softa, Chief of Plant Operations I Fairview Developmental Center 2501 Harbor Boulevard Costa Mesa, CA 92626 We are sending: Attached In Separate Cover [X] Via: Express Mail [x] Hand Delivered [ ] Fax

1st Class Mail

Date	No of Page(s)	Description
05/09/02	3 Sets Each (1 Set Each for Res. 15)	Warranties – Residence 11-16 1.) Toilet Accessories 2.)Partitions 3.)Mirrors
	2 Sets	O&M Manuals – Duct Smoker Detectors, Door Hardware, Soap Dispensers
	3 Sets Each	O&M Manuals – Fire and Leakage Dampers, VCT Tile and Base, Toile Accessories/Partitions
		Received By: Mike Softa, CPO I, Plant Operations

Request for Information

Request for Change Order

Request for Proposal

Estimate

Jobsite Drop-Off

For Approval As Requested Rejected For Process/Payment No Exceptions Taken Not Reviewed For Your Use/Information Implement Corrections Noted x ] Reviewed for Info. Only Revise & Resubmit Signature Requested For Review/Comment & Respons

Remarks:

Submittal

Schedule

Substitution

Field Clarification

Should you require additional information, please let me know.

Roy Tjen-A-Looi, DGS,PMB [x] C. Horvath, T/V D. Pettway, CSS B. Arita, PAO x] D. Burrell, USSCB A. Othman, USSCB M. Johnson, EQE G. McGhee, FDC L. Stephens, T/V B. Reynolds, ESE [x]

> Donald Davies. Construction Supervisor

Signed

B.2/5.5 15.8

001-163

# LETTER OF TRANSMITTAL

RESD/PSB/CSS - T/V State Building Seismic Upgrade 2501 Harbor Boulevard Fairview Developmental Center Costa Mesa, CA 92626 W.O. No.: OPDM 0791 Tel: (714) 556-2412 Contract No.: 3023334(PCU 1094) Fax: (714) 556-2496 Subject: Extra & Contract Material Date: May 9, 2002 To: Mike Softa, Chief of Plant Operations I Fairview Developmental Center 2501 Harbor Boulevard Costa Mesa, CA 92626 We are sending: [X] Attached In Separate Cover Via: Express Mail Hand Delivered [ X ] [ ] Fax 1st Class Mail Jobsite Drop-Off Submittal Request for Information Change Order Substitution Request for Proposal Correspondence Field Clarification Request for Change Order Request for Payment Schedule Estimate Report Date No of Page(s) Description 05/09/02 Extra Material - Ceramic Tile, Paint, VCT Floor Tile, Acoustical Ceiling Contract Material - 5 sets of Mini Blinds for Residence 11 & 12 6 Mirrors scheduled for Toilet/Shower Room 104 Residence 11-16 Non-Contract Materials - 3 Door Frames, 6 Roof Vent Stacks Received By: Mike Softa, CPO I, Plant Operations For Approval As Requested Rejected For Process/Payment No Exceptions Taken Not Reviewed [X] For Your Use/Information Implement Corrections Noted Reviewed for Info. Only Revise & Resubmit Signature Requested For Review/Comment & Response Remarks: Should you require additional information, please let me know. Roy Tjen-A-Looi, DGS,PMB x] C. Horvath, T/V Signed: [x] D. Pettway, CSS B. Arita, PAO D. Burrell, USSCB A. Othman, USSCB M. Johnson, EQE G. McGhee, FDC [x] L. Stephens, T/V B. Reynolds, ESE Donald Davies, Construction Supervisor

3.2/ cc: File 5.7

005-162

STATE OF CALIFORNIA

DEPARTMENT OF GENERAL SERVICES
Real Estate Services Division

### CONTRACTOR'S CERTIFICATION OF COMPLETION

RESD 383-78 (REV. 1/99)

PREPARE IN TRIPLICATE

TO: Real Estate Services Division, Construction Services Section Area		DATE: May 09, 2002			
			W.O. NUMBER: OPDM 0791		
FROM:	M: Donald Davies, Construction Supervisor I		CONTRACT NUMBER:		
			3023334 (PCU 1094)		
PROJECT	State Building Seismic R	etrofit Program; Structural Retrofi	t Wards D1516, E1314, F1112;		
	Fairview Developmental		The second secon		
	2501 Harbor Boulevard				
	Costa Mesa, Orange Cor	unty, California, 92626			
LOCATION	1				
THIS IS TO	CERTIFY THAT I,	Allen Othman			
		(NAME)			
AS AN AU	THORIZED OFFICIAL	USS Cal Builders, Inc.			
		(FIRM OR CORPORATION)			
MODELING	IN THE CAPACITY OF	Senior Project Manager			

AND HAVE BEEN PROPERLY AUTHORIZED BY SAID FIRM OR CORPORATION TO SIGN THE FOLLOWING STATEMENTS PERTAINING TO SUBJECT CONTRACT.

I KNOW OF MY OWN PERSONAL KNOWLEDGE, AND DO HEREBY CERTIFY, THAT THE WORK OF THE CONTRACT DESCRIBED ABOVE HAS BEEN PERFORMED, AND MATERIALS USED AND INSTALLED IN EVERY PARTICULAR, IN ACCORDANCE WITH, AND IN CONFORMITY TO, THE CONTRACT DRAWINGS AND SPECIFICATIONS

THE CONTRACT WORK IS NOW COMPLETE IN ALL PARTS AND REQUIREMENTS AND READY FOR YOUR FINAL INSPECTION

I UNDERSTAND THAT NEITHER THE DETERMINATION BY REAL ESTATE SERVICES DIVISION THAT THE WORK IS COMPLETE, NOR THE ACCEPTANCE THEREOF BY THE DIRECTOR, SHALL OPERATE AS A BAR TO A CLAIM AGAINST THE CONTRACTOR, PURSUANT TO ARTICLE 3 OF THE GENERAL CONDITIONS OF THE CONTRACT (GUARANTEE).

SIGNED

DATE

Swice Duscron

OLUEF, CONSTRUCTION SET HOLS SECTION

AREA CONSTRUCTION SUPERVISOR

-

APPLICATION FOR PAYMENT State of California Department Of General Services Real Estate Services Division-Project Management Branch 707 Third Street, Suite 3-305 West Sacramento, CA 95605				Invoice Number: Period Ending: ABMS Contract Number: PCU# Work Order:				
CONTRACTOR:					PROJECT:			
ADDRESS:					LOCATION			
Base Contract: Change Orders to [ Total Contract:	Date:							
CONTRACT COST I	DATA							
Gross Earnings: Less 5% Retention Less Withholdings: Net Earnings:			Earned to Date	Previous	This Period	(Circle Yes or Final Payment	ZES	S"
Plus Payment Of Pi	revious Ret	ention/With	holdings:  Net Payment Thi	is Invoice: \$		(Circle Yes or I	No) Yes	No
CONTRACT SCHED			MO/DAY/YR					Calendar Days
Notice to Proceed I Percentage of Work This Period:	k Complete				Contract Comple Actual Time Elaps Time Added By C	sed		
		completion I Contract Co	Date: mpletion Date:					
RESD USE ONLY								
Reviewed By:		Constructi	on Services Secti	ion	Date			
Recommend Paym	nent	Print Proje	ect Director Name		Project Director S	ignature	Date	Amount
DGS ACCOUNTING	USE ONLY	T TITLE TOJE	set Director Name	•	1 Toject Director o	ignature	Date	Amount
			DGS Accounting	Office		Date	-	Amount
ABMS CODES Project	Task Code 16.	030	Expenditure Code 222045		Funding ( ) Form 22 ( ) Form 220	( ) Other	\$	Amount

	MENT ESTIMATE	Contract # Work Order #	3011616 (1411) SPS 9530.00				
State of California Department of General Se	nicae	Period Ending	November 20, 2002				
REAL ESTATE SERVICE	51.0001100 and a 10.000	Estimate #	22				
CONTRACT FOR:	Seismic Retrofit, Employment D		ent Building				
CONTRACTOR		Thompson Pacific Construction, Inc.					
ADDRESS		625 DuBois Street, Ste. C					
	San Rafael, CA 94901						
	BASE CONTRACT AMOUNT	\$6,551,630.00					
	CHANGE ORDERS	\$152,986.28					
	TOTAL CONTRACT AMOUNT	\$6,704,616.28					
ITEM	- AMO	UNTS					
Mary 1987	PREVIOUS	CURRENT	TO DATE				
GROSS EARNINGS	\$6,431,793.28	\$119,836.72	\$6,551,630.0				
C.O. PAYMENTS	\$272,823.00	(\$119,836.72)	\$152,986.2				
32 b. PAYMENTS	\$0.00	\$0.00	\$0.0				
MATERIALS STORED	\$0.00	\$0.00	\$0.0				
5% RETENTION	(\$0.00)	(\$0.00)	(\$0.00				
25% RETENTION	(\$0.00)	(\$0.00)	(\$0.00				
LIQUIDATED DAMAGES	(\$0.00)	(\$0.00)	(\$0.00				
OTHER WITHHOLDINGS		((\$1,000.00))	(\$0.00				
NET EARNINGS	\$6,703,616.28	\$1,000.00	\$6,704,616.2				
	LESS PREVIOUS PAYMENTS	TNA	55 \$1,000.00				
	NET PAYMENT THIS INVOICE	FINA	\$5 \$1,000.00				
	NET PAYMENT THIS INVOICE	-NA	\$1,000.0				
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Project Supervisor  Area Supervisor  95 % of the work is completed approval of the supervisor of the s	II Monthly stimate represent actual work comete and satisfactory progress is be	Final inpleted to date.	Date  Date  Date 26 Nov 2re 2 e the balance of the work.				

# **APPLICATION FOR ESCROW PAYMENT**

State of California
Deparment Of General Services
Real Estate Services Division
Project Management Branch
707 Third Street, Suite 3-305
West Sacramento, CA 95605

# Example 1-05-E PMB

West Sacramento, CA 95605    Escrow Invoice Number:   Period Ending:   Per	Project Managem 707 Third Street,			Esrow Ac	count/Agreement No:			
ABMS Contract Number (PCUII):  Work Order:  BANK: PROJECT:  ADDRESS: LOCATION  Base Contract: Change Orders: Total Contract: CONTRACT OST DATA  Gross Earnings: Earned to Date Previous This Period Less Withholdings: Net Earnings: Net Earnings: (Circle Yes or No) Final Escrow Payment Yes Plus Payment Of Previous Retention/Withholdings: Net Payment This Invoice: \$ (Circle Yes or No) Final Escrow Payment Yes  CONTRACT SCHEDULE DATA Notice to Proceed Date: Percentage of Work Completed This Period: Total: Contract Completion Date: Adjusted Contract Completion Date: Amount  ABMS CODES Task Expenditure Project Code Code Funding Amount  ABMS CODES Task Expenditure Project Code Code Code Code Code Code Code Code	•			Es	crow Invoice Number:			
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		16.03	30 222045				\$	

GSS 321-4P (REV.10/01)

# PROJECT MANAGEMENT BRANCH CONTRACT FINAL ACCEPTANCE REPORT

Instructions: CSS Area Office is to Complete this Form and Send it to the Chief, Construction Services

	Robert Benton		DATE:	12-10-2001		
TO;	Real Estate Services Division Project Management Branch			OPDM/PMBNO: SPS712.00 Changed to SPS712.		
PROJECT: Structural Retrollt of Van Weston Hall			CONTRA	ACT NO.: 3030348 (1469)		
CLIENT:	Departme	nt of General Services				
LOCATION: Tehachapi, Kem County CONTRACTOR		R: Stever	s Construction Inc.			
	IF	THE INFORMATION	BELOW IS NOT	(NOWN, E	ENOTE BY *	
		CONTRACT	ACTUAL			
STARTING DA	NTE	2-05-2001	2-13-2001	NU	MBER OF DAYS OVERRUN, IF ANY	
COMPLETION	DATE	10-02-2001	11-02-2001		31 Days	
CONTRACTO	R'S CER'HFI	CATION OF COMPLETIN	ON RECEIVED	FIN	IAL INSPECTION DATE 11-02-2001	
				exception	RESOCCUSTRUCTION SERVICES S	
Contrac	t time to be	extended to date of ac				
Recommingleme	nended timi nt weather 6 5 - 3 days; (	e extensions for cause:	ceptance, as there his stated in the contral 3,2001; Feb. 7, 2001,	as baen no ct. Feb. 8,200	contract time overrun.	
Recomminglement C.O. # 8	nended timi nt weather 5 - 3 days; 0 DAYS = 32	e extensions for cause on Feb. 5, 2001; Feb. (	ceptance, as there his sistated in the contra 3,2001; Feb. 7, 2001, 13 - 4 days; total 27	es been no ci. Feb. 8,200 days by ch	contract time overrun.	

# CONTRACT FINAL COMPLETION REPORT AND ACCEPTANCE

RESD 321-4 (1/2000)	
Robert Courtnier, Chief	December 27, 2000
Construction Services Section	W.O. NUMBER MVO 409.00
PROJECT HVAC RENOVATION	MVO 728.74
· ·	3011226 (1410) CONTRACTOR - Name and Address
DEPARTMENT OF MOTOR VEHICLES	Los Angeles Air Conditioning, Inc.
WINNETKA, LOS ANGELES COUNTY, CALIFO	Lavellie, GA 31750
S563,500.00 Pixed Contract Amount Days	Compl. date \$250.00 \$5000.00
STARTING CONTRACT ACTUAL DATES July 26, 1999	April 3, 2000 NUMBER OF DAYS OF OVERRUN.
COMPLETION CONTRACT DATES June 2, 2000 No	ovember 21, 2000 IF ANY 142 Calendar days
CONTRACTOR'S CERTIFICATION RECEIVED FINAL INSI 12/7/00	11/21/00
<ul> <li>☐ 1. Contract time be extended to date of acceptance</li> <li>☑ 2. Recommended time extensions for causes state</li> </ul>	
Change Orders	DECEIVED
PCO # 10384 37 Calendar Days	JAN 0 4 2001  RECO-CONSTRUCTION SERVICES SECTION
	stated in the contract:
DMV took beneficial occupancy on May 22, 200 of roofing and screen installation.	Agency would not allow access to the roof for completion
	ring a balance of 0 calendar days as unjustified contract time
overrun.	DECELVED
(ATTACH SUPPORTING DOCUMENT.)	DECEIVED  JAN 1 1 2001

I concur with the Area Construction Supervisor's recommendation as to contract acceptance and further recommended contract time extensions as follows:
1. Contract time be extended to date of acceptance, as there has been no contract time overrun.
<ol> <li>Contract accepted in accordance with above recommendations, and contract time extended to date of acceptance. Contract time overrun was justified for causes stated in the contract documents. No assessment is made for liquidated damages or changes made for engineering and inspection costs</li> </ol>
3. Contract accepted; however, there being a contract time overrun which is controversial, or is not covered by the causes stated in the contract documents, the decision relative to assessing the contractor for liquidated damages or extending the contract time with charges for engineering and inspection costs will be deferred thereon and will be accomplished by separate action.

DIRECTOR OF GENERAL SERVICES

By ISECTION CHIEF, REAL ESTATE SERVICES DIVISION)

ure Date

To Time Review Yes

# CONTRACT FINAL COMPLETION REPORT AND ACCEPTANCE PROJECT MANAGEMENT BRANCH

TO: Margaret K. Hudson, Chief, Project Management Branch				DATE 07/01/2002 W.O. NUMBER				
PROJECT STRUCTURAL RETROFIT - WARDS D1516, E3014, F1112					OPDM 0791			
OTROCTORAL RETROTTI - WARDS D 1010, E0014, 1 1112					T NUMBER PCU 1094)			
CLIENT				TRAC	The state of the s			
DEPARTMENT C	F DEVELOPMENTAL SE	RVICES	USS	Cal B	uilders, Inc.			
	IRVIEW DEVELOPMENT	AL CENTER						
ORIGINAL CONT	RACT AMOUNT	CALENDAR DAYS	LIQI	JIDATE	ED DAMAGES			
\$1,698,000.00		670	\$ 1,0	000	per day			
	CONTRACT	ACTUAL						
STARTING DATES	06/12/2000	06/12/2000			DAYS PÄSSED ORIGINAL N DATE, IF ANY			
COMPLETION	CONTRACT	ACTUAL	1		0			
DATES	05/12/2002	05/10/2002		Cal	endar Days			
CSS 321-4P PMB FINAL	COMPLETION FIELD REPORT SIGN	FINAL INSPECTION DAT	TE		2205(a) Recycle Certificate State received:			
05	/02/2002	05/09/2002	N/A					
x 1. Contract	time be extended to date	lowing recommendations:  of acceptance, as there has be causes stated in the contract:		contra	ct time overrun.			
3. Recomm	nended time extensions for	causes not stated in the conti	ract:					
calendar	contract time by caler days as unjustified contra SUPPORTING DOCUM		f_		9			
N.		By (Project Director	or) H	ed).				

	Proje	ct Man	nagement Branch
			h the Project Director's recommendation as to contract acceptance and further contract time extensions as follows:
	<u>_x</u> _	1.	Contract time be extended to date of acceptance, as there has been no contract time overrun.
	-	2.	Contract time be extended to date of completion, as I concur in the judgment of the Project Director that the contract time overrun was justified for causes stated and that no liquidated damages be assessed.
	_	3.	Contract time extension be deferred for further investigation by the Contract Time Review Board.
			Margaret K. Hudson 7/2/02 Margaret K. Hudson Date Chief, PMB
	_x_	1.	Contract accepted in accordance with above recommendations, and contract time extended to date of acceptance.
	_	2.	Contract accepted; however, there being a contract time overrun which is controversial, or is not covered by the causes stated in the contract documents the decision relative to assessing the contractor for liquidated damages or extending the contract time with charges for engineering and inspection costs will be deferred thereon and will be accomplished by separate action.
			DIRECTOR OF GENERAL SERVICES BY (Project Management Branch)
			7/2/02 Date
). (4			Margaret K. Hucken) Margaret & Hudson, Chief

TO: Chief

APPLICATION FOR PAYMENT State of California Department Of General Services Real Estate Services Division-Project Management Branch 707 Third Street, Suite 3-305 West Sacramento, CA 95605				Invoice Number: PM Period Ending:			ple 1-8 MB	
				ABMS Contract Number:				
				PCU# Work Order:				
					DDO IEOT.			
CONTRACTOR ADDRESS					_ PROJECT:			
					LOCATION			
Base Contract: Change Orders to Total Contract:	Date:							
CONTRACT COST	Γ DATA							_
Gross Earnings: Less 5% Retentic Less Withholding			Earned to Date	Previous	This Period	(Circle Yes or N	TI	ON T
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Plus Payment Of	Previous Re	tention/With	hholdings:			AYIV		
i ido i dymoni or	. 1011040110	1011110111, 11111	-				(ov	
			Net Payment This	Invoice: \$		Final Payment	Yes	No
CONTRACT SCHE	DULE DATA		MO/DAY/YR					Calendar Days
Notice to Proceed					Contract Comple			
Percentage of Work Completed This Period: Total:				Actual TIme Elapsed Time Added By Change Orders				
		<del>_</del>			, , ,	3		
		Completion Contract Co	Date: empletion Date:					
RESD USE ONLY								
		1			1 1			
Reviewed By:  Construc		Construct	tion Services Section		Date			
Recommend Pay	ment							
recommend ray	mem	Print Proje	ect Director Name		Project Director S	Signature	Date	Amount
DGS ACCOUNTIN	G USE ONLY	,			-	1		
			DGS Accounting C	Office		Date	-	Amount
			<u> </u>					
ABMS CODES	Task		Expenditure					
Project	Code		Code		Funding ( ) Form 22	( ) Other		Amount
	16	.030	222045		( ) Form 220	( ) Other	\$	<u>-</u>

State of California .	MENT ESTIMATE	Contract #	3011616 (1411) SPS 9530.00 November 20, 2002		
Department of General Ser	nices	Period Ending			
REAL ESTATE SERVICES		Estimate #	22		
CONTRACT FOR:	Seismic Retrofit, Employment D	Development Departme	nt Building		
CONTRACTOR	Thompson Pacific Construction		and walled		
ADDRESS	625 DuBois Street, Ste. C				
	San Rafael, CA 94901	77.7			
	BASE CONTRACT AMOUNT	\$6,551,630.00			
	CHANGE ORDERS	\$152,986.28			
	TOTAL CONTRACT AMOUNT	\$6,704,616.28			
ITEM	. AMO	UNTS			
	PREVIOUS	CURRENT	TO DATE		
GROSS EARNINGS	\$6,431,793.28	\$119,836.72	\$6,551,630.0		
C.O. PAYMENTS	\$272,823.00	(\$119,836.72)	\$152,986.2		
32 b. PAYMENTS	\$0.00	\$0.00	\$0.0		
MATERIALS STORED	\$0.00	\$0.00	\$0.0		
5% RETENTION	(\$0.00)	(\$0.00)	(\$0.00		
25% RETENTION	(\$0.00)	(\$0.00)	(\$0.00		
LIQUIDATED DAMAGES	(\$0.00 }	(\$0.00)	(\$0.00		
OTHER WITHHOLDINGS	(\$1,000.00 )	((\$1,000.00))	(\$0.00		
NET EARNINGS	\$6,703,616.28	\$1,000.00	\$6,704,616.2		
	NET PAYMENT THIS INVOICE	DETEN	\$1,000.0		
		K- VM			
RESD AREA:	II - Monthly	Final			
RESD AREA:		Tomas and the second	The second second		
0925 AC (00000000000000000000000000000000000	II Monthly timate represent actual work con	COMPANY WORLD	100.00%		
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The percentages in this es		pleted to date.	The second second		
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The percentages in this est Project Supervisor  Area Supervisor  95 % of the work is comple	timate represent actual work con	pleted to date.	Date 26 Nov 200 2		
The percentages in this est  Project Supervisor  Area Supervisor  95 % of the work is completed.	timate represent actual work con	pleted to date.	Date 26 Nov 200 2		
Project Supervisor  Area Supervisor  95 % of the work is comple See attached approval of the second control of	timate represent actual work con	eing made to complete	Date  Date		
Project Supervisor  Area Supervisor  95 % of the work is comple See attached approval of the second control of	timate represent actual work con	eing made to complete	Date 26 Nov 200 2		
The percentages in this est Project Supervisor  Area Supervisor  95 % of the work is comple	timate represent actual work con	eing made to complete	Date  Date		
Project Supervisor  Area Supervisor  95 % of the work is comple See attached approval of the second control of	timate represent actual work con	eing made to complete	Date  Date		

Contract Work Payment Stiester COPY TO CONTRACTS UNIT

# **APPLICATION FOR ESCROW PAYMENT**

State of California Deparment Of General Services

# Example 1-08-E

Real Estate Service Project Management							
707 Third Street, S		Esrow Account/Agreement No:					
West Sacramento	, CA 95605		Escrow Invoice Number:				
			ABMS Cor	ntract Number (PCU#):			
				Work Order:			
CONTRACTOR	:			_			
BANK:				PROJECT:			
				LOCATION			
Base Contract:							
Change Orders:				_			
Total Contract:		<u> </u>		<del></del>			
CONTRACT COS	T DATA	Earned to Date	Drovious	This Period			TON
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Less Withholdings Net Earnings:	S:			<del> </del>		AMI	•
-	Previous Re	tention/Withholdings:			PP		TO
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CONTRACT SCL	IEDIII E DA	TA					Calendar
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Notice to Proceed Date:				Contract Completion		_	
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Reviewed By		Oznatovatica Oznaka Oznak	:	Data			
		Construction Services Sect	ion	Date			
Recommend Payr	ment	DMD Dusiest Diseates		Designat Dissertes Cisse	-t		A
DGS ACCOUNTI	NG USE ON	PMB Project Director		Project Director Sign	ature	Date	Amount
						_	
		DGS Accounting O	ffice		Date	\$	Amount
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ABMS CODES	Task	Expenditure					
Project	Code	Code		Funding			Amount
	16.03	30 222045		( ) Form 22 ( ) Form 220		\$	
	10.00	ZZZOTO		( ) Other		<u> </u>	
				·			

48

Recording requested by STATE OF CALIFORNIA DEPARTMENT OF GENERAL SERVICES

When recorded, mail to:
Business Operations, Policy and Planning
707 3rd Street, Suite 2-350
West Sacramento, CA 95605
Attention: CONTRACTS MANAGER

Recorded in Official Records, County of Orange Darlene Bloom, Interim Clerk-Recorder

# 

20020599024 01:47pm 07/18/02

Pursuant to Government Code 6103, requesting this document to be recorded free of charge.

Space above this line for recorder's use

# NOTICE OF COMPLETION OF CONTRACT NO. 3023334 (PCU 1094)

### ORANGE COUNTY

NOTICE IS HEREBY GIVEN, That the contract heretofore awarded by the Department of General Services, acting for and on behalf of the State of California, to: USS Cal Builders, Inc., who was the contractor thereon, for performing the following work, to wit: STRUCTURAL RETROFIT - WARDS D1516, E3014, F1112, DEPARTMENT OF DEVELOPMENTAL SERVICES, FAIRVIEW DEVELOPMENTAL CENTER in COSTA MESA, ORANGE COUNTY, all in the State of California, was completed by said contractor and accepted by the Department of General Services on July 2, 2002.

Upon said contract the: Fidelity & Deposit Company of Maryland was the surety upon the bond given by said contractor, as established in the California Public Contract Code.

DATED: 7-8-02

State of California) County of Sacramento) ss. DEPARTMENT OF GENERAL SERVICES State of California

Contracts Manager

CarlosToirac, being duly sworn, deposes and says: That he is an officer of the said Department of General Services, to wit, the Contracts Manager thereof; that he has read the foregoing Notice of Completion and knows the contents thereof; and that the same is true of his own knowledge except as to the matters therein stated on information or belief, and as to those matters he believes it to be true.

Subscribed and sworn to.

before me on

NOTARY PUBLIC)

Carlon

DENIS J. CALVO
Commission # 1351843
Notary Public - California
Secremento County
My Comm. Expires Apr 16, 2006

<u>.</u>



State of California

Department of General Services

Gray Davis, Governo

# REAL ESTATE SERVICES DIVISION

Business Operations, Policy and Planning Brapety ED 707 3rd Street, Suite 2-350, West Sacramento, California 95505 (\$161) \$46.1768 NT

2002 AUG -8 P 3: 17

August 8, 2002

WORK ORDER NO. OPDM 0791 CONTRACT NO. 3023334 (PCU 1094)

(REVISED)

Ms. Jennifer Hotrum, President USS Cal Builders, Inc. 12792 Valley View Street # D Garden Grove, CA 92845

Dear Ms. Hotrum:

STRUCTURAL RETROFIT - WARDS D1516, E3014, F1112
DEPARTMENT OF DEVELOPMENTAL SERVICES
FAIRVIEW DEVELOPMENTAL CENTER
COSTA MESA, ORANGE COUNTY, CALIFORNIA

The Director of General Services has accepted your contract as of July 2, 2002.

The final payment has been processed in accordance with provisions of the General Conditions of the Contract.

Sincerely,

Carlos Toirac

Contracts Manager

(916) 376-1754

(916) 376-1778 FAX

CT:ap

CC:

Roy Tjen-A-Looi, Project Director

Capital Outlay Accounting, Payments Unit

FIDELITY & DEPOSIT CO. OF MARYLAND, Bond # 08427486

Contract File



# MEMORANDUM

RECEIVED FROJECT MANAGEMENT BRANCH

2002 AUG -8 P 3: 17

Date:

August 8, 2002

CONTRACT NO. 3023334 (PCU 1094)

W.O. NO. OPDM 0791

(REVISED)

To:

Capital Outlay Accounting

Accounting & Financial Services

707 3rd Street, 9th Floor

West Sacramento, CA 95605

From:

Department of General Services - Real Estate Services Division

Business Operations, Policy and Planning

707 3rd Street, Suite 2-350 West Sacramento, CA 95605

Subject:

STRUCTURAL RETROFIT - WARDS D1516, E3014, F1112

DEPARTMENT OF DEVELOPMENTAL SERVICES

FAIRVIEW DEVELOPMENTAL CENTER

COSTA MESA, ORANGE COUNTY, CALIFORNIA

The above subject contract was accepted on July 2, 2002.

Change Orders Pending:

Total Change Orders to date: 13 0

\$113,770.00.

Completion report attached.

Please process the Final payment for \$181,177.00. The invoice is to be sent separately.

Carlos Toirac

Contracts Manager

(916) 376-1754

(916) 376-1778 FAX

CT: ap

Attachments -

CC:

Roy Tjen-A-Looi, Project Director

Contract File

George Lai

Stephanie Counts, CMS Contracts Manager

# Contract Time Extension And Assessments

321-4B (Rev 1-98)

Department of General Services Real Estate Services Division

Project				Date September 16,2002				
Structural Retrofit, Ventura Armory  Client				W.O. No.				
Department Of General Services				SPS 711.00				
Location 1270 Arundell Ave., Ventura Ca				Contract No. 3022405 (1444)				
Contractor Goodrich-Baas & Associates				Contract Amount \$ 750,000.00				
Conti	ract T	ime Review Panel Hearing Date mber 6, 2002	Reference From 321-4a (Date) June 11, 2002					
_	_	nended Approval	(Panels Findings Attached)					
X	1.	Contract time extensions as follows: Change Order No. 1 - 35 Days Change Order No. 2 - 5 Days Change Order No. 3 - 25 Days	Change Order No. 4 - 1 D Change Order No. 5 - 18 D Change Order No. 6 - 8 D	ays ays				
X	2.	Extend contract by 92 calendar days, beginning April 5, 2001 through July 5, 2001 leaving a balance of 162 calendar days as unjustified contract time overrun.						
	3.	No assessment of liquidated damages or charges for engineering and inspection costs.						
	4.	per attached schedule in lieu of liquidated damages.  Basis: For a period of overrun ofcalendar days, beginningthrough for which the contractor could not justify time extension; work was within his control and resulted from his failure to make a concerted effort to complete work of contract. State's cost for overrun will be recaptured by charge's						
<u>x</u>	5.	calendar days of unjustified contract	time overrun.  2 _calendar days, beginning _ ontractor could not justify conti	ract time extension; work was within his control and				
	Ch <b>aj</b> ri	nan, Contract Tirle Feylew Panel	Gary Sills	Date				
	X	an D. Hilly		September 12, 2002				
	2	Contract Time Review Panel's recomme Director of General Services By Chief, Construction Services Section) Professional Services Branch)	endations as shown above are	approved September 12, 2002				
		Signature (Robert Courtnier, Chief,	Construction Services Sec	tion) Date 9 12 02				



Date: September 26, 2002

> Tierra Contracting Inc. 5484 Overpass Road Santa Barbara, CA 93111

Subject: STATEMENT OF CONTRACT

> CONTRACT NO: 3048543 (1518)

WORK ORDER NO: 109088

PROJECT: **NEW FIRE SERVICE** 

CLIENT: CALIFORNIA DEPARTMENT OF HIGHWAY PATROL

LOCATION: GOLETA, SANTA BARBARA

DIRECTOR'S ACCEPTANCE DATE: September 10, 2002

Contract Amount Change Orders TOTAL CONTRACT AMOUNT	\$32,950.00 0.00 \$32,950.00
Previous Payments To Date Withholds Stop Notices Current Payment TOTAL PAYMENTS/WITHHOLDS	\$ 0.00 \$ 0.00 \$ 0.00 \$ <u>32,950.00</u> \$32,950.00
AMOUNT DUE CONTRACTOR AMOUNT DUE STATE	\$ 0.00 \$ 0.00

If you have any questions regarding this statement, please contact RESD Construction Contracts at (916) 376-1770

Attach: Contract Work Pay Estimate Bonding Co: #83SB103799591BCM CC: JAMES FROLICH Travelers Casualty & Surety Company of Am.

PROJECT SCHEDULING 21866 Gateway Center Drive

Diamond Bar, CA 91765



State of California . Department of General Services . Gray Davis, Governo

# REAL ESTATE SERVICES DIVISION

Business Operations, Policy and Planning

707 3rd Street, Suite 2-350 • West Sacramento, California 95605

Date:

July 29, 2002

USS CAL BUILDERS INC

12792 VALLEY VIEW STREET, #D GARDEN GROVE, CA 92845

Subject:

STATEMENT OF PROPOSED FINAL PAYMENT

CONTRACT NO:

3023334 (1094)

WORK ORDER NO:

**OPDM 0791** 

PROJECT:

STRUCTURAL RETROFIT-WARDS D1516, E3014, F1112 DEPARTMENT OF DEVELOPMENTAL SERVICES

CLIENT:

LOCATION:

**COSTA MESA** ORANGE COUNTY, CALIFORNIA

DIRECTORS ACCEPTANCE DATE	July 7	, 2002
Contract Amount	\$ 1,69	8,000.00
Change Orders	\$ 11	3,770.00
TOTAL CONTRACT AMOUNT	\$1,81	1,770.00
Previous Payments To Date	\$1,630	,592.99
Escrow Payment Released to Contractor	\$ 181	,177.00
TOTAL PAYMENTS/ WITHHOLDS	\$1,81	1,769.99
AMOUNT DUE CONTRACTOR	\$	0.01
AMOUNT DUE STATE	\$	0.00

The General Conditions of the Contract require that you file a claim with the RESD for any additional money within 30 days after receipt of this letter. Unless you file such claim within this period, the contract provides that you waiver all right to any additional compensation over and above the amount of the enclosed warrant, including, without limitation, any and all sums which have been deducted or withheld from the contract price for such things as liquidated damages, incomplete or inadequate work, or for any other reason.

If you have any questions regarding this statement, please contact RESD Construction Contracts at (916) 376-1754.

Attachment:

Contract Work Pay Estimate

CC:

Carlos Toirac Cynthia Soto Contract File

Bonding Co: # 08427486

Fidelity and Deposit Co. of Maryland

225 S. Lake, #700



#### State of California • State and Consumer Services Agency • Gray Davis, Governor

# DEPARTMENT OF GENERAL SERVICES

Real Estate Services Division • Project Management Branch

The Ziggurat • 707 Third Street, Third Floor • West Sacramento, CA 95605 • (916) 376-1700

Example 1-14

(Type date here)

WORK ORDER NO. CONTRACT NO.

City National Bank

Attn: Ms. Virginia Beach, Vice President

5601 E Slauson Avenue Commerce, CA 90040

Dear Mr./Ms.:

3023334 (PCU 1094) for USS Cal Builders, Inc.
STRUCTURAL RETROFIT – WARDS D1516, E3014, F1112
DEPARTMENT OF DEVELOPMENTAL SERVICES
FAIRVIEW DEVELOPMENTAL CENTER
COSTA MESA, ORANGE COUNTY, CALIFORNIA

The above contract if final and complete. Please release to (fill in the company) the retention principle of \$ (fill in the amount) and any earned interest or dividends from the above escrow account. This release is in accordance with section 10263 of the Public Contract Code and pursuant to Sections (8) and (9) of the terms and conditions of the Escrow Agreement quoted below:

(8) Upon receipt of written notification from the Owner certifying that the contract is final and complete, and that the Contractor has complied with all requirements and procedures applicable to the Contract, the Escrow Agent shall release to the Contractor all securities and interest on deposit less escrow fees and charges of the Escrow Account. The escrow shall be closed immediately upon disbursement of all moneys and securities on deposit and payments of fees and charges. (9) The Escrow Agent shall rely on the written notifications from the Owner and the Contractor pursuant to sections (1) to (8), inclusive, of this agreement and the Owner and Contractor shall hold the Escrow Agent harmless from Escrow Agent's release, conversion, and disbursement of the securities and interest as set forth above.

Please always refer to the bold underlined escrow number above, in any correspondence regarding this Escrow Agreement. The Bank's escrow account number will not suffice.

Sincerely,	
(Type PD name here) Project Director (916)	Capital Outlay Accounting Approval
	RELEASE OF RETENTION APPROVED:
	By: Margaret K. Hudson, Chief
	Date:

cc: USS Cal Builders, Inc

FIDIELITY & DEPOSIT CO. OF MARYLAND, #08427486 C/O AVERBECK INS. 3270 INLAND EMPIRE BLVD. #100 ONTARIO, CA 91764

Carlos Toirac, RESD Contracts Unit, Zig Ste. 2-350 Capital Outlay Accounting Payments



# MEMORANDUM Example 1-15

Date: July 15, 2002 File No.: CO. NO. 3040838 (PCU 1169) W.O. NO. 107737

To: Capital Outlay Accounting, Payments Unit

Accounting & Financial Services 707 3<sup>rd</sup> Street, 9<sup>th</sup> Floor

West Sacramento, CA 95605

From: Department of General Services – Real Estate Services Division

Business Operations, Policy, and Planning

707 3<sup>rd</sup> Street, Suite 2-350 West Sacramento, CA 95605

Subject: **COURT RENOVATION** 

JUDICIARY, 2ND APPELLATE COURT

RONALD REAGAN STATE OFFICE BUILDING

LOS ANGELES, LOS ANGELES COUNTY, CALIFORNIA

1.	 Claim for additional monies received.
2.	 No claim for additional money.
3.	Please process final payment for: \$0 zero dollars.

Carlos Toirac Contracts Manager (916) 376-1754 (916) 376-1778 FAX

CT: ap

Rob Uvalle, Project Director cc:

Contract File



State of Trilla . State and Consumer Services Agency . Gray Davi remor

W.O. NO. 109088

CONTRACT NO. 3048543 (1518)

DATE: December 17, 2002

# **DEPARTMENT OF GENERAL SERVICES**

Management Services Division Office of Fiscal Services/Capital Outlay Accounting - Payment Unit The Ziggurat • 707 Third Street, Ninth Floor • PO Box 989052 • West Sacramento, CA 95798-9052

PROJECT BUILDERS, INC.

3213 ORANGE GROVE AVE #B

NORTH HIGHLANDS, CA 95660

PROJECT: CLIENT:

NEW FIRE SERVICE

CALIFORNIA DEPARTMENT OF HIGHWAY PATROL

LOCATION: GOLETA

SANTA BARBARA COUNTY, CALIFORNIA

Gentlemen:

rer	ther as part of the amount withheld for liquidated damages or for services you feel you have ndered over and above the terms of the contract. The total amount paid within the term of this ntract is \$37,293.00.	
of off wai whi pro	we mailed our warrant in the amount of \$\frac{\pi}{2}\$ representing the State's proposed nal payment to you arising from the work of your contract. The General Conditions of the Contract quire that you file claim with RESD for any additional money within 30 days after receipt by you the Statement of Proposed Final Payment. As of this date a claim has not been returned to this fice; therefore, your failure to file such claim within the 30-day period constitutes an automativer by you of all rights to any additional compensation over and above the amount of \$\frac{\pi}{2}\$ ich represents total payments made to you for work of this contract. Accordingly, pursuant to the contract of the General Conditions of the Contract, the State's proposed final payment transmitted you has now become final.	ic

On \_\_\_\_\_\_, you were advised that your claim for additional money in the amount of \$\_\_\_\_\_\_ had been denied by RESD. Therefore, pursuant to the provisions of the General Conditions of the contract, the State's proposed final payment transmitted to you has now become final. Total payments to you have now been made in the amount of \$\_\_\_\_\_, representing all moneys earned by you and all payments made or to be made to you under this contract.

Sincerely,

Fee Chang

Senior Accounting Officer Capital Outlay Accounting (916) 376-5150

James Frolich, Contract Management Project Scheduling CC: COA

> Bonding Co.: #83SB103799591BCM Travelers Casualty & Surety Company of America 21866 Gateway Center Drive Diamond Bar, CA 91765

Department of General Services - Real Estate Services Division Professional Services Branch - Construction Services Section

# DIRECT CONSTRUCTION UNIT

# **Project Certification**

Project No.: Contract No.:  Date Transmitted to Client	Date Delivered to Client	Date Transmitted to DCU H.Q.
Contract No.:  Date Transmitted	Date Delivered	Transmitted to DCU
Date Transmitted	Date Delivered	Transmitted to DCU
Transmitted	Delivered	Transmitted to DCU
Transmitted	Delivered	Transmitted to DCU
-		-
		-
		1
ed were used on to s completed in a Remarks continu	ccordance wit	h the plans
agency Approval		
4	Agency Approval	

DCU-044 (Rev. 05/09/2002) doc

DEPARTMENT OF GENERAL SERVICES REAL ESTATE SERVICES DIVISION PROFESSIONAL SERVICES BRANCH CONSTRUCTION SERVICES SECTION DIRECT CONSTRUCTION UNIT

FINAL PROJECT COMPLETION NOTIFICATION

DATE:

03/18/02

ATTENTION:

Thuong Huynh

Project Cost Analysis Unit

WORK ORDER: 103288

PROJECT:

RDC - Tank Removal

CLIENT:

Department of Education

LOCATION: Pomona, 2550 Fulton Road

ALLOCATION:

37,262.00

EXPENSES:

37,118.52 \$

BILLED AMT: \$

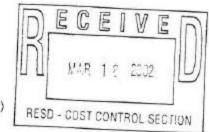
37,118.52

I hereby certify that the above work was completed in accordance with the plans and specifications, and applicable change orders, if any. This project will be deleted and archived from the Direct Construction Unit's records.

Construction Services Section

cc: DCU Project File

Form DCU-45 (REV. 10/01 DATAEASE)



# **EXAMPLES**

Task 2:

Responding to a Claim

# CONTRACT TIME REVIEW PANEL AND CLAIM REVIEW PANEL PROCEDURES

Effective September 3, 2002, all *unjustified contract time reviews and contractor claims* submitted to the Professional Services Branch (PSB), in accordance with Article 9.1.2 of the General Conditions, shall be presented by the Project Manager to the PSB "Contract Time Review Panel" (CTRP) or Claim Review Panel (CRP), for review, recommendation and processing. The Project Manager will act as the state's advocate in compiling and presenting all relative information to the Panel. "The CTRP" and "CRP" will meet every other Wednesday, starting on October 2, 2002. This date will be posted on the Outlook, Public Folders/All Public Folders/Zig Resources/6<sup>th</sup> floor/6-330QR. The Project Manager will contact Sandy Pitzner 916-375-4841 to schedule their time review presentations or claim review presentations to the appropriate Panel.

The CTRP and CRP is composed of three members, Gary Sills, Chairman (Construction Services Section), Carol Rader, Legal (Office Legal Services) and David Schlueter, A & E (Design Services Section). All three members are voting members. After reviewing the time review or claim, the Panel will make a recommendation to the Chief of the Construction Services Section (CSS). If the Chief agrees with the recommendation, he will sign it and CSS will process the paperwork.

# CTRP - CONTRACT TIME REVIEW PANEL

When a close out package is presented to the CSS it will be reviewed and a decision will be made to approve the overrun or have the CTRP review the file. If it goes to the CTRP, the CSS will process the close out following specific procedures. A memo will be sent to Contracts stating "this project is going to be reviewed by the CTRP". This triggers Contracts to hold up the final payment letter to accounting and accounting to send a different letter to the contractor, (NOT THE PROPOSED FINAL or FINAL PAYMENT LETTER). The Proposed Final and Final Payment letter is what the contractor uses to start a claim if they are going to file. Accounting will send another letter to the contractor and wait to send the PFP or FP letter's until the CTRP makes the decision.

A copy will be given to the Project Manager, (from herein referred to as Advocate, CTRP), the CSS will make a Time Review folder for the original package, it will be filed in the Time Review File in CSS. If the Chief requests Liquidated Damages be withheld, this will be done by memo to accounting by the CSS before it is submitted to the Advocate.

The Advocate is required to request and secure all documentation pertaining to the overrun presentations from the area offices, and other source's involved. The Panel will rely solely on the Advocate to compile, schedule and present the information.

The CTRP will require complete backup information that is applicable to the time review including, but not limited to:

- Copies of contractors approved schedules
- Change orders
- Change order negotiation sheets
- Request for services, (RFI)
- Logs
- Contractor daily reports
- Inspection daily reports
- As-built schedules as prepared by the project manager.
- Linear calendar
- Schedules prepared by the project managers are to clearly indicate <u>all</u> impacts to the critical path by the state's and the contractor's actions.

The Advocate will submit the complete time review package back to the CTRP within 14 days of initially receiving it from CSS. The information will be presented to the CTRP by the Advocate on the following scheduled meeting date.

If there is any correspondence to or from the contractor or anyone else regarding this Time Review, a copy needs to be sent to the CTRP file held in CSS. NOTE: All letters to the contractor are to be sent as **CERTIFIED MAIL**, **RETURN RECIEPT REQUESTED**.

After the CTRP has met and discussed the Time Review, they may think it necessary that the contractor be invited to present information on his behalf, either by personal visit or by conference call. The contractor will be asked to bring all documentation deemed necessary, pertaining to the project, to help explain in detail. It will be the Advocate's responsibility to arrange for this meeting by certified letter, inform the Panel and schedule it on the Outlook calendar. The CSS will be notified of this and all invitations for tracking purposes. This and all other forms and form letters can be found on the M:drive.

Immediately after the CTRP has made their recommendation, the Advocate shall prepare written details of the recommendation on a draft 321-4B form, give it to the CSS, the CSS will prepare the final 321-4B and have it signed by the Chairman of the CTRP and the Chief of CSS, follow appropriate procedure for processing, and distribution and refile documents.

If the CTRP makes the recommendation and the contractor is not satisfied with the outcome, the contractor has the right to file a claim within 30 days of receipt of the Final Payment Letter issued by Accounting. It is this final payment letter that triggers the 30 days to file a claim.

All files need to be retained by the Advocate for a period of six months. After this timeframe they may be returned to the original owner for archiving.

### CRP - CONTRACT REVIEW PANEL

Claim packages will come in to the Contracts Section where they are logged in and given a CF-number. Contracts then sends out notification that a claim has been received and the claim package will come to CSS. The CSS will make a copy for the Project Manager, again called Advocate, Claim Review Panel, and make a folder for the original claim to be filed in the CSS Claim file. The Advocate will send out a copy of the claim that has been bound in a flex-a-folder, with the claim item list attached to the front of the folder and tabbed to show the items of the claim and comments from each persons and to the area office and anyone else that has input for the claim. A memo shall be enclosed that states "Please review this claim package and make your comments. Add your comments to the tabbed section in the back of the folder. Return the claim package back to the Advocate within 10 days of the date on this memo. Please cc: Robert Courtnier, CSS and the CSS, CRP. They will be given 10 days to make their comments and return the package to the Advocate. When the package and research is complete, the Advocate will arrange a meeting with the CRP through CSS. They will then decide if it is necessary to invite the contractor.

For claim presentations, the Advocate will need to secure the following items required by the Panel:

- complete backup information as applicable to the claim including, but not limited to
- copies of all invoices,
- certified payroll,
- mileage logs
- requests and notifications made to the State

 written directions from the State and all other information as required by the General Conditions, Article 9 of the contract documents.

If there is any correspondence to or from the contractor or anyone else regarding this claim, a copy needs to be sent to the Claim Review File held in CSS. NOTE: All letters to the contractor are to be sent as **CERTIFIED MAIL**, **RETURN RECIEPT REQUESTED**.

After the CRP has met and discussed the Claim Review, they may think it necessary that the contractor be invited to present information on his behalf, either by personal visit or by conference call. The contractor will be asked to bring any and all documentation deemed necessary, pertaining to the project, to help explain in detail. It will be the Advocate's responsibility to contact CSS to arrange for this meeting by certified letter to the contractor, (even if it has been scheduled via telephone a certified letter shall be sent as a paper trail). The Advocate will also inform the Panel through CSS and schedule the meeting time on the Outlook calendar. The CSS will be notified of this and all invitations for tracking purposes. This and all other forms and form letters can be found on the M:Drive.

After the CRP has made their recommendation the Final Decision, Minutes, Claim Item List and Change Order if applicable need to be completed. Within two days of the Panel's recommendation, the Advocate shall prepare written details of the recommendation on a draft Final Decision letter form and give it to the CSS for processing and distribution. If the Contractor is not satisfied with the decision, they have the right to file arbitration. Filing for Arbitration information is sent to the Contractor along with the final payment letter from the Contracts Section and is in the General Conditions. All files need to be retained by the Advocate for a period of six months. After this six months, they may be returned to the original owner for archiving.

"Time is of the essence" with regards to "Time Reviews" and "Claim Reviews". It is critical that the Project Manager/Advocate be aware of the State's and the Contractor's time restrictions and obligations for completing Time Reviews and Claim Reviews in a timely manner. The Contract General Conditions and Public Contract Codes should be reviewed for each project to confirm what current time allowances exist. Time Reviews and Claim Reviews shall be submitted to the Panel within 14 days (after filing by the contractor).

The following information is provided here for reference:

#### **ARTICLE 9 - DISPUTES AND CLAIMS**

### 9.1 **DISPUTE AND CLAIM PROCEDURES**

- 9.1.2 Claim Submission and Documentation: If a Dispute has not been resolved at the time of the State's final statement, the Contractor shall submit within 30 days a Claim along with detailed documentation required by Subparagraph 9.1.1 for the State's consideration.
  - .1 The Contractor shall furnish 3 certified copies of the required Claim documentation. The Claim documentation shall be complete when furnished. The evaluation of the Contractor's Claim will be based upon State records and the Claim documents furnished by the Contractor.
  - .2 Claim documentation shall conform to generally accepted accounting principles and shall be in the following format:
    - .1 General Introduction
    - .2 General Background Discussion
    - .3 Issues
      - A. Index of Issues (listed numerically)
      - B. For each issue
        - (1) Background
        - (2) Chronology
        - (3) Contractors position (reason for State's potential liability)
        - (4) Supporting documentation of merit or entitlement
        - (5) Supporting documentation of damages
        - 6) Begin each issue on a new page
    - .4 All critical path method schedules as-planned, monthly updates, schedule revisions, and as-build along with the computer disks of all schedules related to the Claim.
    - .5 Productivity exhibits (if appropriate)
    - .6 Summary of Issues and Damages
  - Supporting documentation of merit for each issue shall be cited by reference, photocopies, or explanation. Supporting documentation may include, but shall not be limited to, General Conditions; General Requirements; technical Specifications; Drawings; correspondence; conference notes; shop drawings and submittals; shop drawing logs; survey books; inspection reports; delivery schedules; test reports; daily reports; subcontracts; fragmentary CPM schedules or time impact analyses; photographs; technical reports; requests for information; field instructions; and all other related records necessary to support the Contractor's Claim.
  - .4 Supporting documentation of damages for each issue shall be cited, photocopied, or explained. Supporting documentation may include, but shall not be limited to, any or all documents related to the preparation and submission of the bid; certified, detailed labor records, including labor distribution reports; material and equipment procurement records; construction equipment ownership costs records or rental records; Subcontractor or vendor files and cost records; service cost records; purchase orders; invoices; Project as-planned and as-built cost records; general ledger records; variance reports; accounting adjustment records; and any other accounting materials necessary to support the Contractor's Claim.
  - .5 Each copy of the Claim documentation shall be certified by a responsible officer of the Contractor in accordance with the requirements of the Contract Documents.
  - .6 Should the Contractor be unable to support any part of the Claim, and it is determined that such inability is attributable to falsity of such certification or misrepresentation of fact or fraud on the part of the Contractor, the Contractor shall

- be liable to the State as provided for under California Government Code, Section 12650 et seq., known as the False Claims Act.
- .7 The State will render a written decision to the Contractor relative to the Claim. The State's written decision shall be final and binding on the party(ies) but subject to arbitration. The State may withhold from the final payment an amount not to exceed 150 percent of the disputed amount. If there is a Surety and there appears to be a possibility of a Contractor's default, the State may, but is not obligated to, notify the Surety and request the Surety's assistance in resolving the controversy.
- .8 All issue items to be included in the Demand for Arbitration or Equitable Adjustment must shall be a part of the Claim submitted with the required documentation under this Subparagraph 9.1.2. Issues not included in the Claim under Subparagraph 9.1.2 shall not be considered.

Date:

# DEPARTMENT OF GENERAL SERVICES REAL ESTATE SERVICES DIVISION

# CONTRACTOR'S CLAIM TRANSMITTAL

Contractor: «Contractor»

Proj	ect: «Project» «Client»			Claim # CF -	
	«Location», «County», «CALIFORNIA»			Contract: «Co W.O. #«WO: Rec'd:	
Amo	ount of Claim \$		Original Co	ontract «Contrac	ct_Amount»
Date	Contract Accepted:				
	PROCESS PROMPTLY A	ND ROUTE	N ORDER	LISTED	
			Rec'd.	Fwd.	Init.
1.	Contract Management				
2.	Claim Review Board Secretary				
3.	Project Manager				
4.	Change Order Unit				
5.	Chief Construction Supervisor				
6.	Construction Supervisor, Area				
7.	Claim Review Panel (Construction Services				
8.	Claim Review Panel (A&E Section)				
9.	Claim Review Panel (Legal Services)				
10.	Claim Review Panel Secretary				
		DECISION			
App	roved/Partially Approved:	Denied: _		Date:	<u></u>
11.	Change Order Unit			T	
12.	Contract Management				
13.	Central Files				



State of California 

Department of General Services Gray Davis, Governor

# REAL ESTATE SERVICES DIVISION

Business Operations, Policy and Planning Branch 707 Third Street, 2nd Floor, Suite 350, West Sacramento, CA 95605

January 16, 2001

W. O. #: GBG 9710.00 Contract: 3018585 (1438)

Mr. David J. Zinniel, President Zinco General Contractor, Inc., Corporation 4550 24th Street Sacramento, CA 95822

Dear Mr. Zinniel:

ADA RETROFIT
HUGH BURNS STATE BUILDING, STATE GARAGE #41
DEPARTMENT OF GENERAL SERVICES
FRESNO, FRESNO COUNTY, CALIFORNIA

Receipt of your claim for this project is acknowledged. This Claim is identified as follows:

Claim No.

CF - 824

Amount

\$14,358.61

Dated

January 10, 2001

After initial review of your claim by the Claims Review Panel you will be advised as to the status of your claim, and whether or not a meeting will be held with you.

Please refer to the above claim number in all future correspondence pertaining to this claim, and direct such correspondence to the Secretary of the Claims Review Panel, Bill Condley, (916) 445-3989.

Sincerely,

James Frolich Contract Officer (916) 322-6866

(916) 324-5712 FAX

JAN 1 7 2001

RESD - COST CONTROL SECTION

cc:

Robert Courtnier, Chief, Construction Services Section Dennis Shearer, Area II, Construction Supervisor (2) Bill Condley, Secretary, Claims Review Panel Project Scheduling & Cost Analysis Analyst Claim Package Construction Contracts



# MEMORANDUM

Date:	, 2002	Contract No. «Contract» W.O. No. «WO»
То:	Capital Outlay Accounting, Paymer Accounting & Financial Services 707 Third Street, 9 <sup>th</sup> Floor, Suite 9- West Sacramento, CA 95605	
From:	Department of General Services – Business Operations, Policy and Pl 707 Third Street, 2nd Floor, Suite 2	anning
Subject:	«Project» «Client» «Location», «County», CA	
Contractor:	«Contractor»	
	nerewith is a claim submitted by cont ditions of the contract.	ractor pursuant to payment provisions of the
Contractor su	ubmitted Claim, CF, in the ar	mount of \$ for extra work.
Final paymen	it cannot be processed until claim, Cl	has been resolved.
James Frolici Contracts Off (916) 376-17 (916) 376-17	ficer 70	

Contract File Claim Package Suspense:

# DEPARTMENT OF GENERAL SERVICES **REAL ESTATE SERVICES DIVISION Construction Contracts**

# ENCUMBRANCE RECORD FOR CONTRACTOR'S CLAIM

T0:	Capital Outlay Accounting Officer Department of General Services	W.O. No.:«W Contract No.:	
FROM:	Construction Contracts	Claim No.: CF Date:	-
Contract Project:	tor: «Contractor» «Project» «Client» «Location», «County», «CALIFORNIA»		
Amount	of Claim: \$		
		Contract Anal Construction	
<u>Detail</u>		Encumbrance	Disencumbrance
Unencur	mbered Balance, Code 7		
Amount	Encumbered:	Maria	
Balance			
Date		Acco	ounting Officer
Forward	original and 1 copy to the Capital Outlay Account	nting Officer.	

COA Accounting Officer: Complete the encumbrance; retain the original and return 1 copy to Construction Contracts, Real Estate Services Division 707 Third Street, 2<sup>th</sup> Floor, Suite 2-350 West Sacramento, CA 95605



State of California . Department of General Services . Gray Davis, Governor

# REAL ESTATE SERVICES DIVISION

Professional Services Branch • Construction Services Section 707 Third Street, 6<sup>th</sup> Floor, Suite 325 • West Sacramento, CA 95605

916-375-4838 Office

916-375-4828 FAX

### FINAL DECISION

December 17, 2001

CERTIFIED MAIL
RETURN RECEIPT REQUESTED

Mr. Dave Zinniel Zinco General Contractor 4550-24th Street Sacramento, CA 95822

Dear Mr. Zinniel:

# ADA RETROFIT - HUGH BURNS STATE BUILDING - STATE GARAGE # 41 DEPARTMENT OF GENERAL SERVICES FRESNO, CALIFORNIA, FRESNO COUNTY O NO - GRO 2710 00 - CONTRACT NO - 202525 (4432) \* CLAIM EILE: CE 22

W.O. NO.: GBG 9710.00 • CONTRACT NO.: 308585 (1438) • CLAIM FILE: CF-824

Pursuant to Article 37 of the General Conditions of the contract, your firm submitted a claim in the amount of \$14,358.61 for 6 Items.

After careful consideration of the facts presented, the Claim Review Panel of the Real Estate Services Division has recommended the following: Denial for Items 1, 3, and 6, Qualifed Approval for Item 2, Approval in Principal for Items 4 and 5. I concur with this recommendation. Enclosed for your reference is a copy of your claim Items.

The Change Order Unit has the responsibility for finalizing a mutually agreeable price for the approved claim. Enclosed are five copies of Change Order R# 10714 reflecting the approved items of your claim as noted. Please indicate in the proper space the total amount you will accept for the items as described in the Change Order, attach a breakdown of costs, sign and date, and return to the Change Order Unit within 15 days.

This constitutes the final written decision in this matter in accordance with the General Conditions, Article 37 of the Contract, Public Contract Code Section 10240.1, and Title 1, California Code of Regulations, Sections 314, 360 (a) and 361 (a)(i). Your right to file for arbitration of the above referenced claim will end <u>90 days after receipt of this final written decision</u>.

If you have any questions or if we can be of assistance, please call William Condley, Secretary, Claim Review Panel at (916) 375-4831.

Sincerely,

ROBERT COURTNIER; Chief
Construction Services Section

RC:WC:slp

Enclosures

Change Orders (w/claim package) if applicable Dennis Shearer, Area II Supervisor Claim Review Panel Project Scheduling and Cost Analysis Lani Rhodes, Project Manager Jackie Hall, Accounting

James Frolich Contracte

# **CLAIM MINUTES**

DEPARTMENT OF GENERAL SERVICES REAL ESTATE SERVICES DIVISION CLAIM REVIEW PANEL

W.O. No.: GBG 9710.00 Contract No.: 3018585 (1438)

Claim No.: CF-824

December 17, 2001

CLAIMANT: Zinco General Contractor

PROJECT: ADA RETROFIT- HUGH BURNS STATE BUILDING, STATE GARAGE #41

> DEPARTMENT OF GENERAL SERVICES FRESNO, CALIFORNIA, FRESNO COUNTY

PRESENT: GARY SILLS - RESD

ORIGINAL AMOUNT OF CONTRACT: \$214,383.00 AMOUNT OF CONTRACTOR'S CLAIM: \$ 14,358.61 WILLIAM CONDLEY - RESD

DAVID SCHLUETER - RESD

CAROL RADER - OLS

The Claim Review Panel met to review the subject claim and hereby make the following recommendation:

NOTE:	"APPROVAL"	means - approval in principal as noted, the final is to be negotiated with RESD's change order section taking into consideration any payments previously made.
	"QUALIFIED APPROVAL"	means - that a portion or sub-part(s) of a compound claim issue is approved in principal and is to be negotiated through RESD's change order process.
	"DENIAL"	means - contractor failed to establish a basis for recovery.

ITEMS:

1. Drinking Fountain Walls Denied 2. Qualified Approval Door Kick Plates 3. Denied Lift Disconnect Switch Approval 4. Valve Shut Down

5. Repair Valve Approval Denied 6. 81 Days of Delay

REVIEW PANEL OF THE REAL ESTATE SERVICES DIVISION

Chairman Claim Review Panel

CLAIM REVIEW AS SET FORTH ABOVE ARE APPROVED

Carol Rader, Legal Services

19 DEC 01

THE RECOMMENDATIONS OF THE

Claim Review Panel

Robert Courtnier, Chief Construction Services Section Date

David Schlueter, Design Services

Date

Claim Review Panel

DEPARTMENT OF GENERAL SERVICES REAL ESTATE SERVICES DIVISION PROFESSIONAL SERVICES BRANCH CONSTRUCTION SERVICES SECTION

# **CLAIM ITEM LIST**

PROJECT:	ADA RETROFIT - HUGH BURNS STATE GARAGE # 41	STATE BUILDING	Date	December 10, 2001
	DEPARTMENT OF GENERAL SI FRESNO, CALIFORNIA, FRESNO		W.O. No.:	GBG 9710.00
			Contract No.:	3018585 (1438)
			Claim No.:	CF-824
CLAIMANT:	Zinco General Contractor 4550 24th Street			
	Sacramento, CA 95822			
ORIGINAL A	MOUNT OF CONTRACT:	\$214,383.00		
AMOUNT OF	CLAIM:	\$14,358.61		

ITEMS	<u>i:</u>	
1.	Drinking Fountain Walls	Denied
2.	Door Kick Plates	Qualified Approva
3.	Lift Disconnect Switch	Denied
4.	Valve Shut Down	Approval in Principal
5. 6.	Repair Valve	Approval in Principal
J.	81 Days of Delay	Denied
	50	

Item	List	for	Claim	1	
Item	List	for	Final	Decision	-

Real Estate Services Division Professional Services Branch

# **Proposed Change Order Estimate Request**

PCO #R 10714

Change Order # Rev. 10-21-1999 Date: 01/02/2002 Work Order #: GBG 9710.00 Contract #: 3018585 Project: ADA RETROFIT-FRESNO (1438) Contractor: ZINCO GENERAL CONTRACTOR, INC. Department/Agency: DGS Contract Amount: 214,383 Facility: FRESNO STATE BLDG Contingency Amount: \$ 40,275 2000 Requestor: CLAIM PANEL Completion Date: Reason For Change Anticipated Costs Client Request A&E: 0.00 Design Error Constr: \$ 14,359.00 CM: \$ Inspection: \$ 0.00 Site Conditions T&M Cap Authorized To Proceed: Authorized By: Amount: Status Of Affected Work Justification Change Order Description 1. (#2) Reimburse the contractor for any cost verified by invoices and contemporaneous records maintained by the State representative and the contractor relating to Door Kick Plates. 2. (#4) Reimburse the contractor for any cost verified by invoices and contemporaneous records maintained by the State representative and the contractor relating to providing additional water shutdown. 3. (#5) Reimburse the contractor for any cost verified by invoices and contemporaneous records maintained by the State representative and the contractor relating to making the repairs on faulty water shutoff valves.

Order Of Magnitude	State's Estimate	7	
\$ 14,359	\$		
Approved Construction Amount  \$ _0.00 \( \) , 8\( \) (.000)	A&E Cost S 0.00		
Change Order Processing Cost	Inspection Cost	Previous Balance	New Balance
\$ 6.00	\$ 0.00	\$ 2.826.91	s Ø
Approved By Signature	nen od yy	Certified Awayer's great are	0 12610.
			Pona:

# DEPARTMENT OF GENERAL SERVICES REAL ESTATE SERVICES DIVISION PROFESSIONAL SERVICES BRANCH CONSTRUCTION SERVICES SECTION

#### **CLAIM CHANGE ORDER**

DATE: December 17, 2001

CONTRACTOR: ZINCO GENERAL CONTRACTOR

R. NO.:

10714

CHANGE ORDER NO.: /

PROJECT:

ADA RETROFIT-HUGH BURNS STATE BUILDING

STATE GARAGE # 41

CLAIM NO.: CF-824

CLIENT:

DEPARTMENT OF GENERAL SERVICES

W.O. NO.: GB

GBG 9710.00

LOCATION: FRESNO, CALIFORNIA, FRESNO COUNTY

CONTRACT: 3018585 (1438)

This Change Order is issued pursuant to the provisions of the General Conditions of the Contract relating to CLAIMS and shall not be effective until approved by the Department of General Services, REAL ESTATE SERVICES DIVISION. This document must be completed in every detail, signed, dated and returned in QUADRUPLICATE with written documentation which fully substantiates the claim(s) to the ABOVE CHANGE ORDER UNIT. Upon approval, a validated copy will be sent to the contractor.

NOTE: Number in (#) is in reference to Claim Number CF-824

- (#2) Reimburse the contractor for any cost verified by invoices and contemporaneous records maintained by the State representative and the contractor relating to Door Kick Plates.
- (#4) Reimburse the contractor for any cost verified by invoices and contemporaneous records maintained by the State representative and the contractor relating to providing additional water shutdown.
- (#5) Reimburse the contractor for any cost verified by invoices and contemporaneous records maintained by the State representative and the contractor relating to making the repairs on faulty water shutoff valves.

By executing this Change Order, the contractor acknowledges that reimbursement for the numbers claim items listed specifically includes all direct and indirect costs. Indirect costs include, but are not limited to: time extensions and delays; home office overhead; extended supervision and management. It is understood and agreed that, by executing and accepting payment thereunder, in the amount set forth, contractor waives any and all claims, demands, or causes of action arising out of or based on the above described items, and the State is hereby discharged from any and all liability, thereunder.

ADDITIVE SUM OF (Live Francisco Cight Hundred Liventy Lix dollars 4).

Signature of contractor's authorized representative

Date

This Change Order is approved for the sum stated above

Signature of Chief, Special Programs

Date

Date

Poly Date

Date



# MEMORANDUM

Date:	July 21, 2000	CONTRACT NO. «Contract» W.O. NO. «WO»
То:	Jacquelyn Hall Capital Outlay Accounting, Paym Accounting & Financial Services 707 Third Street, 9 <sup>th</sup> Floor, Sui West Sacramento, CA 95605	ite 9-300
From:	Department of General Services Business Operations, Policy, and 707 Third Street, 2nd Floor, St West Sacramento, CA 95605	l Planning uite 2-350
Subject:	«Project» «Client» «Location», «County», CA	
	«Contractor»	
	Z Claim for additional	al monies received.
	2 No claim for additi	onal money.

X Please process final payment for: \$\_\_\_\_\_

James Frolich Contract Analyst (916) 376-1770 (916) 376-1778 FAX

CC:

3.

Robert Courtnier, Chief, Construction Services Section Bill Condley, Secretary Claims Review Panel Project Scheduling and Cost Analysis



State of Trilla . State and Consumer Services Agency . Gray Davi remor

# DEPARTMENT OF GENERAL SERVICES

Management Services Division Office of Fiscal Services/Capital Outlay Accounting - Payment Unit The Ziggurat • 707 Third Street, Ninth Floor • PO Box 989052 • West Sacramento, CA 95798-9052

PROJECT BUILDERS, INC.

3213 ORANGE GROVE AVE #B

NORTH HIGHLANDS, CA 95660

PROJECT: CLIENT:

NEW PIRE SERVICE

GOLETA

CALIFORNIA DEPARTMENT OF HIGHWAY PATROL

LOCATION:

SANTA BARBARA COUNTY, CALIFORNIA

W.O. NO. 109088 CONTRACT NO. 3048543 (1518)

DATE: December 17, 2002

#### Gentlemen:

x	_ Enclosed is a warrant in the amount of \$4,343.00 which is the State's final payment of all moneys
	which will be paid under this contract. This final payment is inclusive of any additional claim,
	either as part of the amount withheld for liquidated damages or for services you feel you have
	rendered over and above the terms of the contract. The total amount paid within the term of this
	contract is \$37,293.00 .

on we mailed our warrant in the amount of state's proposed final payment to you arising from the work of your contract. The General Conditions of the Contract require that you file claim with RESD for any additional money within 30 days after receipt by you of the Statement of Proposed Final Payment. As of this date a claim has not been returned to this office; therefore, your failure to file such claim within the 30-day period constitutes an automatic waiver by you of all rights to any additional compensation over and above the amount of swhich represents total payments made to you for work of this contract. Accordingly, pursuant to the provisions of the General Conditions of the Contract, the State's proposed final payment transmitted to you has now become final. to you has now become final.

On \_\_\_\_\_\_, you were advised that your claim for additional money in the amount of \$\frac{5}{had}\$ been denied by RESD. Therefore, pursuant to the provisions of the General Conditions of the contract, the State's proposed final payment transmitted to you has now become final. Total payments to you have now been made in the amount of \$\_\_\_\_\_, representing all moneys earned by you and all payments made or to be made to you under this contract.

Sincerely.

Fee Chang

Senior Accounting Officer Capital Outlay Accounting

(916) 376-5150

CC: James Frolich, Contract Management Project Scheduling COA

> Bonding Co.: #83SB103799591BCM Travelers Casualty & Surety Company of America 21866 Gateway Center Drive Diamond Bar, CA 91765

# **EXAMPLES**

Task 3: Responding to a Warranty/Guarantee Issue Examples are not available at this time.

# **EXAMPLES**

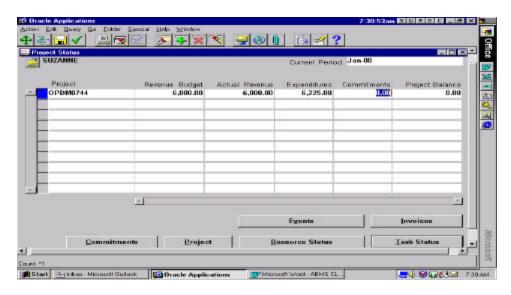
Task 4:

Reconciliation and Closure of Financial Accounts

# ABMS PROJECT CLOSURE PROCEDURES

To close out a completed PMB project in ABMS, the following procedures must be followed:

1. Project Directors are responsible for verifying that all funding and expenditures are correctly indicated in ABMS. You can view the Project Status I nquiry screen for an overview of the project.



Revenue Budget column – Represents all the funding agreements (Form 22, 220, 221, etc.) in ABMS. To review the funding agreements, you can access the Project Funding I nquiry screen or request a "DGS Project Funding Report".

<u>Actual Revenue</u> column – Represents the amount recognized as income or expected income to be received for work on the project.

**Expenditures** column – Represents the actual expenditures to the project. In this example, the actual expenditures exceed the revenue budget. If expenditures exceed the revenue budget, try to find another place for the expenditure. To review the expenditures, you can access the Expenditure Inquiry screen or export the information to EXCEL. Also several reports are available, such as DGS PA Expenditure Detail, MGT Expenditures Detail, MGT Expenditures Summary.

<u>Commitments</u> column - The remaining balance should always be zero. If there is a remaining balance, it needs to be researched or disencumbered. To review commitments, click on the Commitments button, on next screen click on the Find button. There is a report you can request called DGS Encumbrance Detail Report.

# **Project Balance** column – represents

Revenue Budget 6,000.00

Iess Actual Revenue <6,000.00>
Iess Commitments < 0.00>
Project Balance 0.00

- 2. Project Directors prepare a letter (a master is located in L: Abms\
  Project Closure Letter\Closure Letter) that must be sent to Capital
  Outlay Accounting with the following information:
  - a. Project Number
  - b. Request for funds to be disencumbered (Commitment column must be \$ 0)
  - c. Request for remaining funds to be returned to Client Agency if applicable.
  - d. Request for project to be closed
  - e. Indicate effective date of project closure(last day of the month)
  - f. Project Director's signature

The letter should be addressed as follows:

Jacquelyn Hall-Haynes
Office of Fiscal Services
Capital Outlay Accounting
707 Third Street, 9<sup>th</sup> Floor
West Sacramento, CA 95605

3. Copies of the letter to:

Suzanne Wong, PMB
Client Agency (if requested or desired)
File Copy

- 4. Forward original letter to Suzanne Wong and she will:
  - a. change ABMS completion date to project closure date.
  - b. change ABMS Project Status to "Pre-Close".
  - c. collect letters and forward to COA at the beginning of each month. Suzanne attaches a cover letter to COA indicating these are PMB's monthly closure letters.

If you have questions regarding the closure procedures, please contact a CSA VIII or Suzanne Wong.



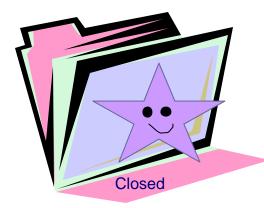
# MEMORANDUM

Date:	
То:	Jacquelyn Hall-Haynes Office of Fiscal Services Capital Outlay Accounting 707 Third Street, Suite 09031-V1 West Sacramento, CA 95605
From:	Department of General Services – Real Estate Services Division Project Management Branch 707 Third Street Suite 3-305, West Sacramento, CA 95605
Subject:	CLOSE OUT OF PROJECT#
The above pr please disend remaining fun	roject is complete a reconciliation was performed. As a result of the reconciliation cumber \$ from the "Commitments". Please return any ands to the client agency.
	ave been disencumbered and the remaining balance returned, please close The effective date of closure is(last day of the month).
If you have ar	ny questions, please contact me at
Project Direc Title	tor's Name
	Wong, PMB ency (if requested or desired)

# Project Closeout

The following has been prepared for projects that have gone to construction and for which construction is now complete. If the project is a study or only goes through working drawings then procedures for "Inactivating Tasks" apply.

- Complete a "Cost Comparison Analysis Worksheet" to determine actual phase expenditures.
  - a) Analyze and reconcile work order funding and expenditures with ABMS utilizing appropriate project documents and/or ABMS reports (i.e., Project Estimate, Statement of Finances, PSCA Cost Revenue Report, ABMS Downloaded Expenditure Detail, etc). See ABMS Reports, Section 20 through 27 of the ABMS User's Guide.
  - b) Verify CS Agreements are complete with the project manager and adjust any expenditure errors and/or disencumber funds. Consultant Contracts Section must be cc'd on all contract corrections to disencumber funds.
  - c) Review ABMS to confirm reimbursement of Coordination and Contract Management, Guarantee Inspection, and As-builts, etc., accounts.
  - d) Adjust ABMS Cost Budget to reflect Project Estimate/Statement of Finances for each Task via work authorization or ABMS Action Sheet.
- Compare authorized A/E and/or IN labor usage hours with actual labor expenses (Analysis of Time Charges Report).



- a) Check ABMS PSCA Cost Revenue Report or ABMS Labor Usage Report for nonbillable hours.
  - b) Convert non-billable hours to billable time charges.
- Review/return contingency to confirm all associated costs have been recovered.
- Discuss savings and/or deficit with project manager and/or Manager, Project Scheduling and Cost Analysis via Cost Comparison Analysis Worksheet.
  - a) The project manager must justify phase overruns in writing to his/her supervisor and provide a copy of the justification for the file with concurring signature of supervisor.
- 5. Place Work Order Number on Inactive List.
- File copies of all reports/documents (including ABMS/PSCA Cost Revenue Report) in file and make notations of pertinent changes and/or actions to the project on the file "Action Sheet".
- 7. Review file to ensure all documents requiring signature approvals are complete. Remove duplicate documents from file

- Hold file until the Return of Funds Transfer Document (AFS-59 signed by DGS Capital Outlay Accounting) is received from COA.
- 10. Indicate Inactive date on file label and file in "PSCA Inactive File Cabinets" to be eventually sent to the Record Center.

Project Closeout Checklist
DGS/RESD Letters of:
☐ Acceptance of Contract
☐ Instruction to Semi-Final Contract Work Payment Estimate
☐ Contractor's Approval of Proposed Final Payment (AFS-142)
☐ Contractor's Claim for Additional Money (AFS-142)
<ul><li>Acknowledgement of Claim Filed by Contractor</li></ul>
<ul> <li>Acknowledgement to Contractor of Final Payment</li> </ul>
☐ Final Project Completion Notification (DCU-45)

RESD Branch	Activity	Project Manager	Analyst	SRF Fiscal Services	SPI Unit
CAM	Start a Project for DGS Property that affects the capitalized value	CAM obtains the Real Property Number and/or the Structure number from SPI Unit.	CAM sends a MEMO to notify SRF that the project is starting.	Follow up to insure receipt of documentation affecting the value of DGS property	Provide SPI numbers
DSR Paul Estate	e Acquisition Unit				
F3B Real Estate	Acquisition of Property	At the close of escrow, the RESD project manager prepares the <u>Settlement Summary</u> , form RESS 108, and gives it along with documentation, e.g. deed, purchase agreement, lease purchase agreement, maps, etc. to the analyst (Lorina Pisi).	Prepares three sets of the documents (one original and two copies) and forwards all three to SRF.	SRF records the asset in the GL and forwards the three copies of the documents to the SPI Unit	The SPI Unit records the transaction in the SPI, stamps the documents and sends the original documents to the Secretary of State Archives. The duplicate sets of documentation are returned to RESD and SRF.
				Using the authorized valuation for land and improvements entered on the form, SRF completes the appropriate RESD form (1010,1020,1040) for SPI Data Entry, and uses that as the cover sheet to three sets of the documentation.	
DCD Dool Estate	Surplus Dranovty Unit				
FOD REAL ESTATE	Surplus Property Unit Sale of Surplus Property	At the close of escrow or transferred property, RESD staff prepares the <u>Transfer to Proprietary Land Index</u> , form RESD109 and <u>Surplus Property Sales</u> , form RESD303 and gives it and other appropriate documentation to the analyst.	Prepares three sets of the documents (one original and two copies) and forwards all three to SRF.	Using the GL value, (or, If only a portion of the property is sold, the amount of the deduction is pro-rated according to the acreage sold), SRF deducts the value from the GL. This applies to both land and building. SRF completes the appropriate RESD form (1010, 1020, 1040) for SPI Data Entry, and uses that as the cover sheet to three sets of the documentation.	The SPI Unit records the transaction in the SPI, stamps the documents and sends the original documents to the Secretary of State Archives. The duplicate sets of documentation are returned to RESD and SRF.
				SRF deletes the asset from the GL and forwards the original and duplicate sets of the documentation to the SPI Unit.	
DCD Colomia 9	Special Programs				
PSB Seismic &	Demolition of Improvement	When demolition is completed, RESD staff prepares Form 9 Review and Transmittal Sheet, form 100 and the "Statewide Property Inventory – Project Coordination" form and gives them and other appropriate documentation to the analyst.	The analyst prepares three sets of the documents and forwards all three to SRF.	Using the GL value for the structure and /or improvements, SRF deducts the value from the GL. SRF completes RESD 1040-Structure Data Entry Form, and uses that as the cover sheet to three sets of the documentation.	The SPI Unit records the transaction in the SPI, stamps the documents and sends the original documents to the Secretary of State Archives. The duplicate sets of documentation are returned to RESD and SRF.
				SRF deletes the asset from the GL and forwards the original and duplicate sets of the documentation to the SPI Unit.	
PSB Seismic &	Special Programs				
	Completion of Construction	When construction is completed, RESD staff prepares Form 9 Review and Transmittal Sheet, form 100 and the "Statewide Property Inventory – Project Coordination" form and gives them and other appropriate documentation to the analyst.	Prepares three sets of the documents (one original and two copies) and forwards all three to SRF.	SRF uses the actual alteration and/or construction costs and adds the value as an improvement and/or costs of structure to the GL if it meets the capitalization criteria. SRF completes the appropriate RESD form (1010, 1020, 1040) for SPI Data Entry, and uses that as the cover sheet to three sets of the documentation:	The SPI Unit records the transaction in the SPI, stamps the documents and sends the original documents to the Secretary of State Archives. The duplicate sets of documentation are returned to RESD and SRF.
				If the project is an alteration or improvement to an existing structure, it would not receive a new structure number. The costs would be entered as cost of improvements or cost of addition.	
				SRF records the asset in the GL and forwards the original and duplicate sets of the documentation to the SPI Unit	
PMB-Project Ma					
	New Construction financed through bonds	When construction is completed, RESD staff prepares the "Statewide Property Inventory – Project Coordination" form and gives them and other appropriate documentation to the analyst.	Prepares three sets of the documents (one original and two copies) and forwards all three to SRF.	SRF uses the actual alteration and/or construction costs, verifying that it is in line with the CFS revenue bond payment schedule, and adds the value as an improvement and/or costs of structure to the GL if it meets the capitalization criteria. SRF completes the appropriate RESD form (1010, 1020, 1040) for SPI Data Entry, and uses that as the cover sheet to three sets of the	The SPI Unit records the transaction in the SPI, stamps the documents and sends the original documents to the Secretary of State Archives. The duplicate sets of documentation are returned to RESD and SRF.

the cover sheet to three sets of the

documentation:

DGS ONLY FIXED ASSET TRANSACTIONS Example 4-04

RESD Branch	Activity	Project Manager	Analyst	SRF Fiscal Services  If the project is an alteration or improvement to an existing structure, it would not receive a new structure number. The costs would be entered as cost of improvements or cost of addition.  SRF records the asset in the GL and forwards the original and duplicate sets of the documentation to the SPLUnit	SPI Unit
PMB Project Ma	nagement				
·	Demolition or Improvement	When demolition is completed, RESD staff prepares the "Statewide Property Inventory – Project Coordination" form and gives them and other appropriate documentation to the analyst.	The analyst prepares three sets of the documents and forwards all three to SRF.	Using the GL value for the structure and /or improvements, SRF deducts the value from the GL. SRF completes RESD 1040-Structure Data Entry Form, and uses that as the cover sheet to three sets of the documentation.  SRF deletes the asset from the GL and forwards the original and duplicate sets of the documentation to the SPI Unit.	The SPI Unit records the transaction in the SPI, stamps the documents and sends the original documents to the Secretary of State Archives. The duplicate sets of documentation are returned to RESD and SRF.
APE Regional Po	ortfolio Management  Demolition by CADA	When the demolition of the property/building is completed, RESD staff prepares Form 9 Review and Transmittal Sheet, form 100 or Form 29 Real Estate Service Request form Std. 29 and gives it and other appropriate documentation to the analyst.  For any type of transaction, if the land and building are not broken down, APE will make the valuation.	Prepares three sets of the documents (one original and two copies) and forwards all three to SRF.	Using the GL value for the structure and /or improvements, SRF deducts the value from the GL. SRF completes RESD 1040-Structure Data Entry Form, and uses that as the cover sheet to three sets of the documentation.  SRF deletes the asset from the GL and forwards the original and duplicate of the documentation to the SPI Unit.	The SPI Unit records the transaction in the SPI, stamps the documents and sends the original documents to the Secretary of State Archives. The duplicate sets of documentation are returned to RESD and SRF.
	Reconciliation			SRF will reconcile the General Ledger to the SPI as of May 31 <sup>st</sup> and June 30 <sup>th</sup> each year.	SPI Unit will provides an excel file of DGS owned land and buildings. SPI Unit will add it to the list o reports that need to be created for the web.

Data Entry Forms:
Land
RESD 1010 Real Property
RESD 1020 Parcel Building or Improvement
RESD 1040 Structure

# **Project Management Branch**

# STATEWIDE PROPERTY INVENTORY - PROJECT COORDINATION

ABMS Project Numb	er:		Date
Project Name: Project Manager:		Telephone:	
Real Property No Structure No	Real Proper	roperty Inventory (SPI): ty Nameame	
Legislation: State Public Works	Board:		
Owner Agency: Agency Structure No.:		ng Agency:	
Facility Lease: (if appli	licable) Yes \( \Boxed{\omega}\) No \( \Boxed{\omega}\) cable) Yes \( \Boxed{\omega}\) No \( \Boxed{\omega}\) ent: (if applicable) Yes \( \Boxed{\omega}\)	No 🗆	
Recorded Document,	including legal description	and address	
Title Insurance: (if yes	provide details) Yes □	No 🗆	
Мар			
Contract with PMB, PS	SB, other (if other provide	details)	
	Structure Completed: (Not nprovement Completed: (N		
Struct Struct Billing Struct Owne Total Numb Assig	e Completion Date ure Name (if different from ture Address Code ure Type (Office Bldg.), (I r Agency Square Footage er of Floors nments Numbers of Structure (appraised val	Parking Garage), (Warehouse) Managing Agency	
Comn	nents		
Struct Struct Billing Owne Total Numb Assig	tructure Completion Date cure Name (if changed) cure Address (if changed) Code r Agency Square Footage er of Floors nments Numbers of Structure (appraised val	Occupied Date  Managing Agency	<b>:</b> :
Comn		,	

Revised: June 2002

# **EXAMPLES**

Task 5:

Archiving Project Records

# RECORDS RETENTION SCHEDULE

STD. 73 (REV. 6-92)

See instructions on reverse and in SAM 1600

Department of General	00-2	11-13-	98	
ORGANIZATIONAL UNIT RESD/Project Management Branc	PAGE 1	OF PAGES (4)		
ADDRESS (Number Street 400 R Street, Suite 5100	Sacramento	DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)		

EM CUBIC	CALIFORNIA			_		-				PRA		
ABER FEET * ble space between teme)	ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF		MEDIA	MIAL	OFFICE	RETE	NTION	TOTAL	(Exempt) & IPA	REMARKS	
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7												

# RECORDS RETENTION SCHEDULE

STD. 73 (REV. 5-92)

See instructions on reverse and in SAM 1600

Depa	rtment fo	Genera	1 Service	es	00-2	11-13-9	8	
ORGANIZAT RESI	O/Project	Managem	ent Branc	eh .	PAGE OF 3		PAGES (4)	
ADDRESS 400	(Number R Street,	Suite	5100	Sacramento	DEPARTMENT OF GENER	AL SERVICES APPROVAL NUI	ABER (5)	
						The second secon		

NUMBER FEET * (Trible space between terms)		CALIFORNIA STATE	TITLE AND DESCRIPTION OF RECORDS	MEDIA	VITAL	RETENTION				PRA (Exempl)	REMARKS	
		ARCHIVES USE ONLY	(Triple space between items)	1507.00			DEPT.	SRC	TOTAL	IPA		
(6)	0	(6)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	
1	175	No. 17/	Project Work Order Funding-Form 22's, augmentation Budget/Project Account- Budget Packages; estimates; Architects, Engineers & Contractors invoices; Budget Allotment; Expenditure Records (COPS)  Project Schedule-Status Sheet Correspondence, letters, minutes, etc.  Approvals/Permits-Gas, Electr Office of Statewide Health Planning & Development  Contract Infor and various contract documents	Pons	,	Active		4	Active +4		Active until project is complete.	
*			Negotiations/Bidding- Architect & Engineer Selection Process, Prequalification Advertising, Bid Process  Phase Activity-Issues & Technical Decisions, Change Of Close Out-Final punchlist, arbitration, claims		ns							

# RECORDS RETENTION SCHEDULE

STD. 73 (REV. 5-92)

STATE OF SPEEDWICE

See Instructions on reverse and in SAM 1600

Department of General Service	SCHEDULE NUMBER (Z)	11-13-98		
ORGANIZATIONAL UNIT RFSD/Project Management Branc	PAGE 3	OF PAGES (4)		
ADDRESS (Mumber Street 400 R STreet, Suite 5100	Sacramento	DEPARTMENT OF GENERAL	FRVICES APPROVAL NUMBER	(5)

and in SAM 1600 400 R STreet,										\$0.50			
ITEM CUBIC	STATE	T STATE	TITLE AND DESCRIP	TION OF RECORDS	MEDIA	VITAL			ипон		PRA (Exempl) & IPA	REMARKS	
(Triple space between items) (5) (7)	USE ONLY	(Triple space b	ehreen Reme)	(10)	(11)	OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)	(16)	(17)		
	100	Discontinued Ro Items on School	edule 91-182										
		11,12,13,14,15,											
		31,32,33,34,35,	36,37,38,39										

STATE OF CALIFORNIA

# **RECORDS TRANSFER LIST**

# \*Transfer lists must reflect the Records Retention Schedule. To avoid delay in acceptance by the Records Center, follow instructions on the reverse.

STD. 71 (REV. 3-96	6)	by the Necolus Center, I	onow matructions on th	e reverse.				
	*FOLLOW	DEPARTMENT		BILLING CODE (1)	PAGE OF	PAGES		
	INSTRUCTIONS N THE REVERSE	ORGANIZATIONAL UNIT		DESTRUCTION DATE (2) (Year) (Quarter)	TRANSFER LIST NO. (3)  VOLUME TRANSFERRED (6)  CU. FT.  APPROVAL NUMBER (9)			
STORAGE LOCAT RECORDS CENTER	ION(4) SRC VAULT	ADDRESS (Number and Street)		DESTRUCTION METHOD (5)				
STORAGE TYPE (		City and ZIP Code		SCHEDULE NUMBER (8)				
BOX NUMBER (10)	DESCRIPTION OF MUST BE THE SAME AS DESCR (DOUBLE SPACE BETW (11)	RIPTION ON SCHEDULE	SRC STORAGE NO. (FOR RECORDS CENTER USE ONLY)		ARCHIVES FLAG	ITEM NUMBER		
(10)	(11)		(12)	(13)	(14)	(15)		
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ECORDS COST	NOTE DIVICIO			t.		:		
	ARDED BY (Signature)	(Typed or Printed Name)		TELEPHONE NUMBER	DATE FORWARD	ED		
PPROVED BY DE	PARTMENTAL RECORDS MANAGEME	NT COORDINATOR (Signature)		TELEPHONE NUMBER	DATE APPROVED			
ECORDSRECEIV	(EDBY(Signature)		(Title)		DATERECEIVED			

### **RECORDS TRANSFER LIST**

STD. 71 (REV. 3-96) (REVERSE)

#### **INSTRUCTIONS**

FOR STORAGE OF RECORDS IN SACRAMENTO: transmit the original and one copy of this transfer list to the State Records Center *in advance of the shipment of records*. Unless you have made special arrangements with the Records Center, you will be notified when the records can be accepted.

FOR STORAGE IN SRC VAULT: transmit the original and both copies of this transfer list (make an extra copy for your files) to the State Records Center with the shipment.

- BILLING CODE: Enter the agency billing code to which storage is to be charged.
- 2. **DESTRUCTION DATE**: Enter the year and quarter when the records can be destroyed: such as "1995.2" for the second quarter of 1995. If the quarter is not specified, the records will be scheduled for destruction in the fourth quarter of the year indicated. Enter only one destruction date per list. Minimum storage is one year.
- 3. TRANSFER LIST NUMBER: Number the list for the first shipment of records "1" and continue in numerical sequence for each shipment thereafter. If the next number in your sequence is not known, contact your departmental records management coordinator.
- 4. STORAGE LOCATION: Check the Records Center in which the records will be stored. For vital records protection in secured environmentally controlled storage (usually master silver microfilm) check "Vault."
- 5. **DESTRUCTION METHOD**: Enter "Confidential" if these records require shredding to protect confidentiality. Enter "Nonconfidential" if shredding is not required.
- VOLUME TRANSFERRED: Enter the total volume (in cubic teet) transferred for each shipment of records. (Each records center carton is 1 cubic foot. For other container equivalents, contact the Records Center.)
- 7. **STORAGE TYPE**: Acceptable storage types are Records Center Box, Check Box, Roll Plans, 16mm Film, 35mm Film, 1000 Foot Reels. Call the Records Center for the correct description for any other storage type.
- SCHEDULE NUMBER: Enter the schedule number from the Records Retention Schedule (STD. 73) covering these
  specific records. Records must be covered by an approved retention schedule not more than five (5) years old.
- APPROVAL NUMBER: Enter the Department of General Services approval number from the Records Retention Schedule (STD. 73) covering these specific records. Records must be covered by an approved retention schedule not more than five (5) years old.
- 10. BOX NUMBER: List each box or container included in the shipment in numeric sequence starting with "1". DOUBLE SPACE between entries, with no more than 20 entries per page.
- DESCRIPTION OF RECORDS: Describe the records using the EXACT title from the approved records Retention Schedule (STD. 73). Subtitles or specific contents of containers may be listed if desired, i.e., batch numbers, file codes, etc. DO NOT USE INFORMATION THAT VIOLATES PRIVACY OF INDIVIDUALS.
- 12. **SRC STORAGE NO.**: Leave this column blank. The Records Center will enter storage numbers and return one copy of the list to the depositing agency.
- YEARS COVERED BY RECORDS: Enter the year or years within which the records fall or the year in which activity terminated.
- 14. ARCHIVES FLAG: Enter an "X" if the State Archivist has flagged the listing for these records by stamping "Hold/Notify Archives" next to the listing on the Records Retention Schedule. Do not repeat if all containers on the list are for the same item number.
- 15. **ITEM NUMBER**: Enter the item number for these records from the Records Retention Schedule. This entry need not be repeated if all containers on the list are for the same item number.

NOTE: Records stored in a State Records Center are owned by the depositing agency. Records Center personnel cannot make decisions about your records or release them to unauthorized requesters. Records stored in Records Centers may not be deleted from your departmental Records Retention Schedule.

# RECORDS MANAGEMENT PROJECT MANAGEMENT BRANCH LIST 2387 Contents

Box 1

**OPDM 0600** 

Seismic Renovation - Norco Project Director - Chris Ambrosino

- Lead-Based Paint & Asbestos Inspection Report
- Report of Geotechnical Investigation
- Final Report California Rehabilitation Center
- Microfilm Negatives
- Pictures

Box 6

**OPDM 0601** 

Fred C. Nelles New Personnel Building Project Director – Richard Lang

- Project Manual
- Submittals

### Box 2

ABMS # 106157

Norco Study

Project Director - Chris Ambrosino

- Correspondence
- Meeting Notes
- Financial Docs
- Invoices
- Schedules

# Box 7

**OPDM 0825** 

Asbestos Removal and Office Space

Removal - DMV

Project Director - Niklas Karlsson

- Specs
- Project Binders

#### Box 3

ABMS # 106157

Norco Study

Project Director - Chris Ambrosino

- Infrastructure Study Report
- Drawings

### Box 8

OPDM0816

Security System Modification

Project Director - Niklas Karlsson

- Project Binders
- Submittals

### Box 4

**OPDM 0495** 

San Quentin Road Repair

Project Director - Richard Lang

Project Records 1996-1998

### Box 9

**OPDM 0537** 

Headquarters 2<sup>nd</sup> Floor Abetement - DMV

Project Director - Niklas Karlsson

- Correspondence
- Meeting Notes
- Inspection Reports
- RFI's

### Box 5

OPDM 0601

Fred C. Nelles New Personnel Building

# Box 10

**OPDM 0537** 

Headquarters 2nd Floor Abetement - DMV

	COMMENTS TO FROM SRC SRC		INTERNET ADDRESS	REQUES TED BY	спү	ADDRESS AND ROOM NUMBER	DEPARTMENT	STATE RECORDS CENTER REFERENCE REQUEST STD. 76 (REV. 12/2003)	STATE OF CALIFORNIA
				PHONE	ZIP CODE	TO RAGE	UNIT	•	DISTRIB
			RECORD TITLE OR FILE NUMBER	m	□ BOX □ SH	LIST NUMBER CO	LOCATION NUMBER	울니느	DISTRIBUTION: 2 STATE RE
CHECK HERE FOR ENTIRE BOX			UMBER	DATE	SHELF DRAWER	CONTAINER NUMBER	-	TIL RECORD(S) RECEIVED	STATE RECORDS CENTER